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A grounded theory of community college chief executive officer succession

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A grounded theory of community college
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by

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CHAPTER I: INTRODUCTION

CEO succession is part of the future for all educational institutions. Kerr examined a group of nearly fifty college and university presidents and noted that about half of them had been in their current posts for two and a half years or less (Kerr, 1982). Baltzel and Dentler (1983) estimated that in the next two decades the retirement rate in secondary school principals will be near 50%. Blum (1989) reported a survey of more than 34,500 college and university administrators that revealed a 15% annual Chief Executive Officer (CEO)[1] turnover rate for public two-year institutions. Roueche, Baker and Rose (1989) claim that "leaders make a difference" (p. 17). They also say that leadership is a critical factor in institutional effectiveness and that new leadership styles are needed as organizational needs change. Birnbaum (1988) stated that little is known about leadership, not withstanding "thousands of essays, research studies and other scholarly and practical works" (p. 22).

While CEO succession has not been widely studied in community colleges, its effects have been studied in various

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[1]CEO is used in this study when referring to a community college president, superintendent, principal, chancellor or person with other title who occupies the senior academic and administrative post of the college or college district.

other organizational contexts. Kerner-Hoeg and O'Mara (1980) analyzed Army combat readiness reports when studying the effect of routine succession in US Army battalions. Grusky (1964) compared changes in organizational effectiveness following succession in civilian and military organizations. Grusky (1963), Gamson and Scotch (1964) and Pfeffer and Salancik (1977) statistically analyzed athletic team win-loss records to determine the effect of succession on team performance. Kotin and Sharaf (1967) used a state mental hospital as the context for studying the interaction of organizational social structure and CEO administrative style. Mitchell (1978), Mitchell and Thorsted (1976), and Ogawa and Smith (1985) studied the effect of principal succession on elementary and secondary school effectiveness using case studies and a review of previous succession research. Studies in different organizational contexts have provided informative insights to successor effect in those contexts. Successor effect is operationally defined as the measurable or perceived effect a new successor has on organizational effectiveness, culture, structure and/or other aspects of the organization. However, whether similar results may be expected in a public community college will require research in a community college context.

Other studies of succession include Lutz (1976) who offered three propositions concerning successor CEO type (insider-outsider and cosmopolitan-local) and a model presenting change agent effect on four-year institutions. Bjork's (1985) case study examined organizational change following the assumption of a new institutional mission at the University of New Mexico. He found that administrative positions increased in number following the added institutional mission. Grusky (1960, 1961, 1963), Guest (1962), Gouldner (1954), Helmich (1977) and Helmich and Brown (1972) studied the private sector and business environment, using different methodologies including statistical analysis and literature review, to describe organizational reaction to CEO succession in those contexts. Bradshaw (1974) examined the effect of governing board change on community college CEO succession in California.

Grusky (1963) found there was a direct effect between CEO actions and organizational effectiveness. Grusky (1960, 1963) also found that all successions were disruptive to the organization. Gouldner (1954) reported that outside successors increased bureaucratic reporting and rules in an organization and caused strategic replacement. Guest (1962) found no increase in bureaucracy and no strategic replacement following succession. Helmich and Brown (1972) found that inside successors caused fewer changes in the administrative structure of the organization in a two-year period following succession than did an outsider.

Helmich (1977) found that successor deficiency to satisfy job-oriented needs was most significant in influencing executive personnel changes following CEO succession. Bradshaw (1974) concluded that community college CEOs had turnover rates comparable to school district superintendents, but turnover was for different reasons.

There is extensive research examining organizational behavior. However, CEO succession in public community colleges in the United States has not been a subject of such investigation. Several authors have described the unique nature of the community college administrative structure and governance (Richardson, Blocker & Bender, 1972).

Vaughan (1986) used surveys and experience as a community college CEO when describing the history and evolution of community college CEOs. Vaughan provided insights on the path to the presidency, presidential burnout and president-governing board relations.

Bensimon, Neumann and Birnbaum (1989) noted that the Association of American Colleges is seeking academic leadership to reverse devaluation of the bachelor's degree. The leadership crisis in higher education to which the authors respond in the monograph presupposes that CEOs (leaders) can and will make a difference in improving the effectiveness of higher education. Literature reporting leader succession and institutional change in other contexts often conflicts with the conventional wisdom that leaders make a difference.

The unique characteristics of the community college suggest that a theory of succession in that environment may prove useful to governing boards. Further, the community college may realize a practical benefit of increased institutional effectiveness from a theory of community college CEO succession. This study developed a grounded theory of community college CEO succession, establishing a basis upon which future research of community college CEO succession behaviors may be studied and understood.

Succession in an Organizational Context

The community college, whether named junior college, people's college or technical institute, is an 89-year-old innovation in the American educational system (Brubacher & Rudy, 1976; Cohen & Brawer, 1982). Bensimon (1984) observed that community college organizational structures and decision-making patterns tended to resemble a corporate or hierarchial model more than any other organizational form. She reviewed selected literature pertaining to succession in business organizations as well as other, not-for-profit contexts concurrently with research of succession in an educational context. Few studies of CEO succession in educational environments were found in the literature. Most studies of CEO succession were conducted in other contexts including athletic teams and for-profit organizations.

Succession is an anticipated or unanticipated change in the formal leader of a group or organization (Gordon & Rosen, 1981). It can occur for any number of reasons. These reasons may include termination, death or disability, relocation or retirement of the CEO. Leader succession is a universal occurrence in organizations (Grusky, 1960). Notwithstanding the universal nature of leader/administrator successions in our society, succession is an event that has not received great attention from researchers (Helmich & Brown, 1972).

There are several concepts central to an understanding of succession and the succession literature. These concepts include ritual scapegoating, insider/outsider successors and succession and local/cosmopolitan successors and succession. Additionally, an understanding of succession requires that slump effect, regression effect, the concept of strategic replacement and organizational saga be understood. These terms and concepts are recurrent in the literature guiding the development of the present study. Each of these concepts is presented and explained in the following discussion.

Ritual scapegoating

Gamson and Scotch (1964) argued that there is no causal relationship linking organizational effectiveness and succession. Instead, they suggested that organizational effectiveness is a function of long-term organizational processes that are often not within the purview of first-line managers. Gamson and Scotch proposed that succession was a "scapegoating ritual" (p. 70) performed to appease interested elements of society during transient performance declines. They claimed it was a societal myth that administrative change is positively related to organizational improvement. They found that forced successions are intended to satisfy external constituencies. These CEO successions signal to society that an organizational "problem" is being "fixed." Hereafter, the Gamson and Scotch thesis that succession has no effect on the organization will be referred to as the No-Way Causality (NWC) model of succession. Gamson and Scotch (1964) used athletic teams as study subjects. Because they examined data at the team level, the general usefulness of the study in understanding other organizations may be limited (Brown, 1982).

Grusky's (1963) conclusions regarding a direct causal effect between CEO action(s) and organizational effectiveness, hereafter labeled the One-Way Causality Model (OWC Model) of successor impact on the teams was not supported by other researchers, including Gamson and Scotch. Grusky argued that the CEO was the most important variable in influencing organizational change. The CEO was the single person responsible for the actions that eventually resulted in improved or declining organizational effectiveness.

<u>**Inside/outside successors and successions**</u>

Inside successors, persons promoted from within the organization, place greater importance on where he/she lives and works than he/she does on the career. The inside successor spends his/her professional career in one organization and advances upward through the ranks. Outside successors are strangers to the organization. These persons are more likely to be concerned with their career and with the organization's development than with the place they reside (Thiemann, 1968).

CEO successions are disruptive to the organization, inside successions being less disruptive than outside successions (Grusky, 1960). Selected literature suggests that inside and outside successors have differing organizational impacts and are selected by hiring boards to maintain the status quo (inside successor) or to introduce change to the organization (outside successor).

<u>**Cosmopolitan/local successors and successions**</u>

Another concept of successor orientation, that of local or cosmopolitan successors, is related to but different from that of an inside or outside successor orientation. Lutz (1976) described the cosmopolitan-local concept as a socio-psycho orientation that predisposes a person to action, a philosophical factor rather than a geographical consideration. Cosmopolitans seek status and recognition within their professional group such as university professors who seek status and recognition within their professional specialty peer group. Cosmopolitans are committed to their professional specialty.

Locals identify with an organization, identifying with that organization's goals and ideals. Locals strive to advance up the managerial hierarchy of the organization to which they are loyal. Organizational superiors provide the recognition that insiders seek. A local may be an insider who seeks recognition from a group of organizational peers and superiors. A military officer who may move from one geographical location to another while remaining loyal to the organization and seeking recognition from a hierarchial chain of superiors exemplifies the local. The insider-outsider concept is related to geographical orientation of the successor, i.e., whether the successor is affiliated with the organization prior to his or her succession; the cosmopolitan-local concept is related to a philosophical orientation. Lutz noted that the terms local and insider, cosmopolitan and outsider have often been used synonymously.

Slump effect in succession research

In their study, Gamson and Scotch (1964) controlled for the "slump-ending effect" of a forced succession. The slump effect was defined as the decline in organizational performance that produced the succession. When the slump-ending effect was controlled, there was no long-term performance improvement in 21 of the 22 teams studied. Only one team showed performance improvement to a point above pre-succession levels. Conventional wisdom supports the concept that a new CEO will end an organizational slump. However, the research does not affirm conventional wisdom (Gamson & Scotch, 1964; Brown, 1982; Allen, Panian & Lotz, 1979). These studies showed no improvement in performance associated with CEO succession.

Regression effect on succession research

Regression effect is the tendency for high or low performing teams to move toward an average level of performance for all teams in the study population. This tendency for team performance to regress toward the mean performance of all teams may bias study results, obscuring or skewing study findings (Allen, Panian & Lotz, 1979). This regression effect on athletic team performance has been shown statistically. A similar effect in an educational context has yet to be demonstrated. One problem in testing for a regression effect in educational institutions is that less concrete measures are available to measure performance. Improved performance may be gauged by increased funding, enrollment, quality of graduates or admissions, community support, or the value of research grants. Specifically, community colleges have no direct "scores" of success or failure with which they may be evaluated that are comparable to the win-loss record of the teams in the Allen, Panian and Lotz or Gamson and Scotch studies.

Brown (1982), in his analysis of National Football League win-loss records, also reported the tendency for teams to regress over time toward the mean performance levels of all teams in the study population. Brown's study rejected Grusky's (1963) conclusion that new CEOs tend to improve organizational performance. Brown observed that when a team suffered a performance decline it was followed by a CEO succession, which in turn was followed by a return to pre-succession levels of performance. This finding affirmed Gamson and Scotch's (1964) concept that no immediate impact comes from organizational succession, the No-Way Causality (NWC) model of succession effect. The Allen, Panian and Lotz (1979) and Brown (1982) research suggests that successor effect on declining or improving team or organizational performance may not be the result of successor actions. The appearance of a change in organizational effectiveness may be a manifestation of the tendency for declining team or organizational performance to eventually "regress" toward the mean. Regression upward toward the mean (organizational improvement) may therefore appear to be related to CEO effort. CEO leadership activities that result in a team rising to and sustaining a high winning record is not clear. However, Gamson and Scotch's observation that long-term organizational policies and leadership do impact organizational effectiveness may benefit from further study. Organizational improvement or decline is not clearly related to CEO successions. Such organizational effectiveness changes may be a function of regression toward average organizational performance (Allen, Panian, & Lotz, 1979), the regression effect.

Strategic replacement and succession

Gouldner found that new CEOs may use strategic replacement as a way of establishing or reestablishing communications networks disrupted by the succession. He defined strategic replacement as the "rapid change in supervisory personnel following a succession." The new CEO may replace an incumbent subordinate administrator. Another person may perform the same duties or duties may be reassigned from one administrator to another following a CEO succession. Other researchers, including Helmich and Brown (1972) and Brown (1982) described strategic replacement. Brown found that strategic replacement had no effect on organizational performance.

Helmich and Brown (1972) noted a relationship between whether the successor was an insider or outsider and post-succession change in the executive role constellation. They defined the executive role constellation as those administrative positions that are directly accountable to the

CEO. Helmich and Brown described the executive role constellation as a nuclear work group composed of persons who interact frequently and face-to-face. Executive role constellation positions are the powerful positions in the formal structure of the organization (Grusky, 1961). In this study the executive role constellation encompassed those administrative and academic positions that had routine direct contact with the CEO of the institution. The executive role constellation incumbents in a community college normally include vice presidents, deans, directors and special assistants reporting to the CEO. The definition of executive role constellation was amended as the study progressed to include other persons and positions unique to a particular community college. Helmich and Brown (1972) found that inside successors, that is, successors who had risen in the organization to the position of CEO, tended to cause less change in the executive role constellation in a two-year period following the succession than did successors who had come into the organization from the outside.

Organizational saga

There are often sagas within organizations that serve to define CEO effectiveness. Saga is an historical recitation of heroic events that holds special meaning for the participants or descendants of the participants (Clark, 1972). In an educational context, organizational saga is a "collective understanding of unique accomplishment in a formally established group" (p. 178). Saga has a basis in history but has been embellished through rewriting and retelling as the saga grows. In this study, organizational saga consists of those factors of organizational behavior that are emotionally loaded, "a particular bit of history becomes a definition full of pride and identity for the groups" and turns a "formal place into a beloved institution" (p. 178). Saga makes a formal group unique, creating a cultural identity (Clark, 1972).

Labeling theory and CEO post-succession behavior

Biddle (1979) explained labeling theory in terms of groups normally considered "deviant," such as criminals and ex-convicts, delinquents, and the mentally ill. Labels, once applied to persons, may subsequently tend that person to exhibit certain behaviors conforming to social expectations of those who are labeled. Labeling theory, a sociological concept which partially explains behavior in deviant groups, may also be related to "normal" populations such as new community college CEOs. Strategic replacement and other post-succession behaviors, such as expansion of administrative positions and perceived organizational improvement following succession, may be manifestations of labeling theory in a "non-deviant" context.

CEO Succession and Organizational Performance

Allen, Panian and Lotz (1979) and Brown (1982) studied succession in professional baseball teams and football teams, respectively. They conducted actuarial studies, statistically analyzing team win-loss records to determine causal relationships between CEO succession and organizational effectiveness. These studies employed a multivariate analysis of time series data and an analysis of covariance to assess the effects of type of succession (insider/outsider) on team performance. The data consisted of team win-loss records over periods of 53 and 8 years, respectively. For purposes of their study, the CEOs were team head coaches rather than the top level ownership or management of the teams.

Allen, Panian and Lotz (1979) found that team performance (win-loss records) was the best predictor of future team performance. Team performance was not significantly affected by team personnel turnover or the frequency of CEO succession. However, in teams that experienced no CEO succession, there was generally better performance than those that experienced a CEO succession. This result may contradict the Gamson and Scotch (1964) conclusion that succession is often only a ritual scapegoating behavior of the organization. Gamson and Scotch (1964) found no performance difference between organizations with high and low levels of CEO succession, while Allen, Panian and Lotz (1979) and Brown (1982) found that teams with little succession had a better win-loss record than those with high levels of succession. The slight statistical improvement in effectiveness of organizations that experienced no CEO succession supported another of Gamson and Scotch's arguments: that long-term development of subordinate (player) skills has greater positive effect on the organization than do the short-term effects of a succession. Grusky's (1963) findings of degraded performance following succession were not supported by Gamson and Scotch.

All successions are disruptive to the organization (Grusky, 1960, 1963). This negative effect of succession concept was labeled the Negative Effect (NE) Model of succession for purposes of this study. The succession of administrators may create a period of relative instability in the organization during which previous resource allocation battles are fought again and ideological differences among individuals and groups reemerge. These transition periods may also see performance standards reconsidered, goals reevaluated, new goals set and job responsibilities redefined (Gordon & Rosen, 1981). Disruption of the organization may not necessarily have a negative effect on the organization but may, instead, be an expectation of governing boards seeking to redirect the organization.

The results of these studies are contradictory. Conventional wisdom suggests a positive relationship between

CEO succession and improved organizational performance. Further research is needed to determine the nature of CEO succession and its potential for affecting change in the organizations.

Succession in Education

There are many studies of change in leadership. Two of the predominant settings in which leadership change has been examined are athletic teams and business/industrial environments. (See Appendix A for a summary of selected studies on succession.) However, the dissimilar nature of value systems in education and business (Green, 1982) can be expected to limit the applicability of these studies to a higher education context (Berger, 1983).

Carlson (1962), Freeborn (1966), Lutz (1982) and Lutz and Iannaccone (1978) have examined the factors that influence leader successions in the educational context. Moen (1971) criticized these studies for failing to consider the political environment within which leader successions occurred. In a 1970 study, Iannaccone and Lutz recognized the political nature of school board activities relative to succession. These authors gave no rationale for not examining political factors in their later study. Moen's research on the effect of the political environment on succession and organizational shape introduced yet another factor influencing CEO succession.

The underlying purpose of studying organizational behavior is to improve effectiveness in some manner (Cameron, 1980). An understanding of the theoretical basis of organizational behavior is necessary if organizational leaders are to enhance effectiveness (Cummings & Molloy, 1977; Hackman & Oldham, 1980). Understanding the impact of succession on school organizations enables boards and administrators to determine more clearly the appropriateness of decisions to make a CEO succession. An improved understanding of how CEO succession impacts on the institution allows boards and administrators to more accurately assess the effect of a planned or unplanned succession.

Prior research of manager and leader succession is confined primarily to private businesses, athletic teams, medical institutions and K-12 educational environments. CEO succession in higher education institutions cannot be necessarily equated to these organizations (Kruse, 1986; Green, 1982; Corson, 1979). A tradition of decentralized decision making, ambiguous goals, and faculty allegiance to academic discipline rather than institutional loyalty characterize educational institutions. Additionally, high faculty specialization, high expectation of faculty independence and faculty inclusion in the decision-making process tend to differentiate educational institutions from business and governmental organizations (Baldridge, Curtis, Ecker & Riley, 1977; Corson, 1980). Zoglin (1976) argued that community colleges are adopting shared governance systems. Bensimon's (1984) review of the literature of community college governance suggested otherwise. She found a trend toward a more hierarchial form of governance in these institutions. These finds are conflicting regarding the governance system most common to community colleges. Therefore, the question of whether community college CEO successions are similar to or different from those in other organizational contexts is not clear.

Corson (1979) noted that two propositions are basic to the consideration of management in different contexts. The first proposition is that an organization has a goal or purpose that it serves. The second is that the organizations create their own environments specific to the organizational purpose. He observed that employees in a business corporation know who the supervisor or CEO is. There is no center of power and authority analogous to the business CEO in colleges and universities. Rather, college and university CEOs often must work in a participative environment with diffuse decision-making processes and obscure lines of responsibility and authority (Cohen & March, 1974). Since Corson did not specifically examine community colleges, the relevance of his observations to community colleges also is not clear.

Value systems between higher education institutions and business organizations have more dissimilarities than similarities (Green, 1982). Research on CEO succession is limited and higher education institutions are different from those in which leader succession has been studied. A descriptive and exploratory study of presidential succession behaviors in higher education institutions is required to determine if the phenomena associated with CEO succession found in other organizational contexts may be generalized to community colleges.

The short- and long-term effects of successions at top administrative levels of community colleges are unknown. This study developed a grounded theory to explore phenomena associated with CEO succession. This research also identified future research and proposed definitions that may serve to guide subsequent studies. Practically, the study provided community college trustees, as well as current and future chief executive officers, with an explanation of phenomena related to CEO succession that may guide administrative effectiveness and further the educational goals of the community colleges.

Statement of the Problem

Every community college in the United States has some form of chief executive officer (CEO). The CEO may have the title chancellor, president, superintendent, director, dean or principal. The turnover in community college chief executive officers is high. Moore (1984) reported that over 42% of the community college senior officials in the 1,500 community colleges surveyed held their jobs for five years or less. Benezet, Katz and Magnusson (1981) conducted interviews at 25 four-year colleges and universities to better understand college CEOs and their role. They concluded that the role of the college CEO is evolving from an educational to a managerial perspective. Greater institutional efficiency was more valued than the decentralized academic community characterized by Cohen and March (1974) as organized anarchy. Bensimon's (1984) findings supported Benezet, Katz and Magnusson. She suggested that the corporate (traditional hierarchial management) model of governance was becoming more prevalent in community colleges.

Gouldner (1954), Kotin and Sharaf (1967) and Bjork (1985) reported the tendency of organizations experiencing succession to modify the formal organizational design. Formal organizational design or structure is operationally defined as the administrative structure of the upper levels of the organization. It is often represented graphically in a formal organizational chart. Changes in this structure may take such forms as a new vice president or dean position being created following a change in institutional mission. It may also take the form of consolidating the responsibilities of two or more senior administrators and/or the subsequent elimination of organizational positions and the incumbent(s). For example, a major equipment acquisition was associated with the addition of administrators to the top echelons of the organizational chart (Gouldner, 1954). A change in mission of a four-year public university was associated with an increase in the size of the top levels of the formal organization of the university (Bjork, 1985). Still, research that related changes in organizational structure to CEO succession in community colleges was not identified in the literature reviewed as part of the study.

Strategic replacement, the rapid change in key managers and supervisors following a succession (Gouldner, 1954), has not been explored within a community college context. The review of selected literature on CEO succession (presented in Chapter II) demonstrated that the topic of administrator succession in community colleges has received little scholarly attention. The available research base is inadequate to allow interpolation between succession events and behaviors in a higher education context and those found in business/governmental institutions. The differing value systems (Green, 1982) between business and government and the higher education environment may tend to bias a study based solely on such a literature review. Therefore, meaningful generalizations related to higher education cannot be drawn from the prior research identified.

Purpose of the Study

The purpose of this study is to discover a "grounded theory" (Glaser & Strauss, 1967) of community college CEO succession. The purpose of a theory in this context is to provide an explanation of the events and behaviors that occur in community college CEO succession. The theory also provides methods to conceptualize, explain and describe community college CEO succession. Such a theory is grounded because it must be relevant to (i.e., fit) the data from which it is derived and it must explain the behaviors being studied. Thus, a grounded theory is the generation of theory from systematically obtained and analyzed data. Such a theory of CEO succession in community colleges was developed from a sequence of case studies of change in central leadership in community colleges.

A review of selected literature suggested that a grounded theory of CEO succession in community colleges may describe such concepts as:

a. Strategic replacement activities following succession.

b. Change to the formal organizational structure before or after succession.

c. Inside/outside nature of the successor and strategic replacement behaviors.

d. Organizational health of the institution and the inside/outside nature of the successor.

Two preliminary theoretical categories were derived from a review of selected literature.

a. Effects of community college CEO succession on formal internal organizational design.

b. Effects of community college CEO succession on the occupation of existing positions in the CEO executive role constellation.

These two theoretical categories and others developed in the course of data collection and analysis were used in the development of a grounded theory of community college CEO succession. A complete description of the constructs and procedures used to develop a grounded theory are presented in Chapter III.

Definitions

Succession The result of any event such as death, retirement, resignation, or transfer that replaces a manager, administrator or leader with another, the successor. Gordon and Rosen (1981) defined executive succession as the planned or unplanned change of the formal leader of a group or organization.

Executive role constellation Those positions that are directly accountable to the president or CEO (Helmich & Brown, 1972). They include, in a corporate context, such positions as executive committee chairman, executive vice president, senior vice president, controller, treasurer, and corporate secretary. The executive role constellation for this study was operationally defined to be those vice presidents, deans and other senior institutional officers who report directly to the institution chief executive officer (CEO).

In his study of administrative organizational patterns Lawson (1974) determined the administrative task for which various college personnel are responsible and the status of administrative charts in Illinois and other out-of-state junior colleges. He gathered data from 59 out-of-state institutions and 43 Illinois institutions using an 88-item questionnaire. Lawson found that there were 156 administrative titles in Illinois junior colleges and 150 administrative titles in out-of-state junior colleges. He grouped these titles into 18 administrative functions that included: CEO, vice presidents, administrative services, instruction, business services, student personnel services, continuing education, learning resources, registrar, admissions, facilities, division/department guidance and counselling, public relations and community services, research and development, athletics, financial aid and placement, miscellaneous and groups and committees. This plethora of position titles demonstrates the difficulty of identifying appropriate interview respondents by title alone. The term Executive Role Constellation was used therefore to encompass the realm of job titles who report to a CEO in a community college.

Rebecca myth This is the idealizing of a predecessor following a succession event, no matter how the predecessor was viewed before the succession (Gouldner, 1954). Kotin and Sharaf (1967) argued that the denigration of the predecessor may also be encompassed in the Rebecca Myth concept. The term originated with a Daphne DeMaurier novel in which the new bride of widower was constantly and unfavorably compared to Rebecca, the idealized dead wife.

Strategic replacement Strategic replacement is a "rapid change in supervisory personnel following a succession" (Gouldner, 1954, p. 71). Strategic replacement was operationally defined in this study as the physical replacement of an incumbent with another person performing the same duties or the reassignment of duties from one administrator to another in a two-year period following a CEO succession. Strategic replacement may occur because of a gap between organizational requirements and the effectiveness of subordinate administrators as perceived by the CEO successor. Strategic replacement may also occur as a CEO successor perceives a need for the introduction of new skills or environmental information into the organization. In either case, incumbents may be replaced or the organizational structure may be changed. Whether a replacement is strategic or not is defined by the intent of the CEO when causing the strategic replacement.

Inside successor "One who places more importance on the place he/she resides and works than he/she does on career. This successor generally spends his/her professional career in one organization and advances by coming up through the ranks" (Thiemann, 1968, p. 27). This person is attached to and moves up in a particular organization.

Outside successor "A stranger to the organization" (Thiemann, 1968, p. 27). This person is more likely concerned with his/her career and with the organization's development than with the place in which he/she resides (Thiemann, 1968, p. 27). Loyalty is to the profession; opportunities for advancement within the profession are more important than a particular organization or location.

Local successor "Those high in loyalty to the employing organization, low on commitment to specialized role skills. They are likely to have a local peer group orientation" (Gouldner, 1957-58, p. 290). A local would decline promotion or other change that involved leaving a particular location or job.

<u>**Cosmopolitan successor**</u> "Those low on loyalty to the employing organization, high on commitment to specialized role skills. They are likely to have an external reference or peer group orientation" (Gouldner, 1957-58, p. 290). A cosmopolitan would leave a job and a location to advance his/her professional career.

<u>**Ritual scapegoating**</u> A "convenient, anxiety-reducing act which the participants in the ceremony regard as a way of improving performance, even though (as some participants may themselves admit in less stressful moments) real improvement can come only through long-range organizational decisions" (Gamson & Scotch, 1964, p. 70-71).

Data Gathering Methodology

This study used case study methodology and the constant comparative method (Glaser & Strauss, 1967) of theory development to examine events related to the succession of CEOs in selected community colleges. The case study method was used to gather data needed for theory development. Data were gathered from documentary sources and semi-structured interviews. Documentary sources included institutional histories, college catalogs, governing board and executive council records, professional association fact books and reports. Data were also collected from searches of ERIC data bases and dissertations or theses that produced histories of selected institutions.

The semi-structured interviews were conducted with CEOs and other knowledgeable persons at the selected community colleges. The constant comparative method of theory development is an inductive research method rather than a deductive method. Induction is "the use of observed facts to generate a theory consistent with the facts" (Selltiz, Wrightman, & Cook, 1976, p. 6) and is the first step in the scientific method. Borg and Gall (1983) defined deductive research as the development of a model or simulation that permits the testing of a hypothesis, examining the consequences of the theory.

The literature review guided the initial development of theoretical categories. These categories were used in the initial site visit and data gathering activity. This procedure did not fully conform to the approach advocated by Glaser and Strauss (1967) who suggested the researcher initially ignore the literature in order to assure that the emerging categories were not contaminated by unsuitable or ill-fitting concepts. In the present study, review of selected literature was used to suggest possible preliminary theoretical constructs from which the study could be developed. Case study methodology and the constant comparative method of theory generation resulted in a theory of community college CEO succession grounded in the data.

Assumptions

This study had four implicit assumptions.

a. The data-gathering instrument and interpretation techniques were valid.

b. Reliability was achieved through saturation of the theoretical categories of the study.

c. Data coding and the constant comparison of data led to a theory grounded in the data.

d. The data gathered at one point in the institutional life of the organization were an accurate reflection of institutional change over time.

Delimitations of the Study

This study was limited to community college presidential successions occurring between 1985 and 1987.

This study was limited to those public community colleges with governance systems characterized by local boards solely responsible for community/junior college governance. This study was conducted in a region at a point in time when social and economic factors may have influenced study results.

Significance of the Study

This study explains, through the presentation of grounded theory, elements of the phenomena surrounding community college CEO succession. The study provides a substantive theory of CEO succession in community colleges that future researchers may test using qualitative methods, including descriptive and historical methodologies, or refine through additional quantitative research. Further, this study explains relationships between community college CEO succession and organizational effectiveness. The unique nature of the community college and the increased value placed on enhanced effectiveness (Cohen & Brawer, 1982) require an improved understanding of the impact of CEO succession and its disruptive effects (Grusky, 1960) on the institution. The results of this study may contribute to enhanced effectiveness of the community college education effort and organizational efficiency. Improved understanding of potential impacts of a CEO succession may contribute to a reduction in organizational disruption associated with a CEO succession.

CHAPTER II: REVIEW OF SELECTED LITERATURE

Introduction

This review of selected literature is presented in three sections. The first section reviews selected literature on community college CEOs and community college organization. The first section also reviews selected literature of administrative/management styles used by CEOs in education. Much of the earliest data are experiential, reporting the personal reflections of CEOs. The research has been qualitative in nature; anecdotal reporting is a common form of presenting studies of college and university presidents.

The second section reviews literature relevant to the characteristics of CEO succession as developed in studies of different organizations. The third section summarizes the literature selected for review in this study.

The literature reviewed was identified using manual searches of card catalogs, Dissertations Abstracts International and routine evaluations of bibliographies in reviewed literature. Electronic data base searches of the ERIC CD-ROM data base at Iowa State University and the Clearinghouse for Junior and Community Colleges were also valuable sources for identifying relevant literature.

The Evolution of the Chief Executive Officer in the Community and Junior College

A. C. Olney (1927) was the founding president of Marin Junior College. In reviewing his experience as an administrator in public junior colleges, he noted that junior college CEOs may have originally served as principals of the high schools from which the junior colleges arose.

When presenting what he termed the "California contribution" to the community college movement, Proctor (1927) spoke in terms of the progress of the movement. In his article, Proctor presented the duties and responsibilities of the CEO within a framework established by a governing board. Proctor described a limited role for the institutional CEO including instructor selection and development of academic work standards.

Using personal experience gained while serving as the CEO at Sacramento Junior College, Lilliard (1927) reported characteristics he had observed during his tenure. Lilliard noted that junior college CEOs found it necessary to delegate authority to subordinates and with that authority to give those same subordinates responsibility for accomplishing assigned goals.

Koos (1924) provided a comprehensive evaluation of the community college movement, assessed its merit and gave recommendations for future junior college growth. Using observation and questionnaires to gather data, Koos provided insights to the organization and growth of the junior college movement. He studied the leadership of the junior college as it rose from the secondary school environment.

As a part of his study, Koos examined the administrative organization and CEO titles in six universities that had established educational divisions they called lower division (three universities), junior college (two universities) or junior division (one university). Three of these universities had an administrative officer for the "junior" element. The three administrative officers were titled "dean," "assistant dean," and "committee on lower division junior administration" (Koos, 1924).

Koos also examined the job assignments of persons serving as administrative heads in 24 public junior colleges. He found that in 10 of the 24 instances the designated head of the junior college was the secondary school principal of the high school associated with the junior college. In 13 of the 24 junior colleges investigated, the secondary school principal was understood to be, if not designated, the chief authority for the junior college. However, these principals did not always assume a unilateral administrative role for the junior college. Instead, these de facto CEOs relied on selected faculty members to perform junior college administrative duties. In 10 of these 13 cases another staff member, serving in a position subordinate to the principal, had been designated as dean. In the remaining three of the

13 cases a registrar, unofficial leadership by other faculty member(s) or a committee was responsible for fulfilling administrative duties.

The last example of the 24 cases Koos offered was that of a secondary school operating on a 6-4-4 plan. The 6-4-4 plan is an expression of one concept of K-12/junior college educational progression which included the last two years of high school and the first two years of college in the final four-year period of the 6-4-4 plan (Brubacher & Rudy, 1976). The junior college (post-secondary activity) of the institution using the 6-4-4 plan was administered by the secondary school principal (Koos, 1924). The secondary school origin of the community college was apparent in the then current or immediate past positions of early junior college CEOs. The variety of responsibilities of these early junior college administrators was reflected in the anecdotal evidence presented in the writings of early junior college researchers and CEOs.

Speaking of four-year college CEOs, Stoke (1959) observed that their positions involved high professional risk. Stoke further said that four-year college CEO administrative styles had evolved from an academic/collegial style to a business management style. The four-year institution CEO, however, had to contend with operational limitations that business managers did not, such as faculty expectation of participation in institutional governance and a consultative administrative style.

Fields (1962) selected four community and junior colleges with which he was acquainted for study. His case studies were intended to assist the reader in understanding four different types of community or junior college: a community college controlled by the local school system, a community college which was an independent school district, a third which was county sponsored and the fourth, a junior college that was part of a private four-year institution.

The private junior college selected for the study was the Junior College of the University of Bridgeport (Connecticut). The dean (and CEO in this case) at the Junior College of the University of Bridgeport had responsibilities associated with a community college CEO. These responsibilities included leadership of the junior college faculty, development and improvement of the junior college curriculum, preparation of budget estimates and budget management. The dean also represented the junior college on the University Council of Deans. He coordinated educational programs, content and scheduling with other administrators such as the Dean of Continuing Education. However, this dean, a de facto CEO, was restricted to a "recommendation" role which did not permit final decision making and commitment of funds. All decisions regarding changes or additions to junior college programs required approval by university authorities prior to implementation (Fields, 1962). The limited role of the CEO in the case of the University of Bridgeport Junior College illustrates the ambiguity of the junior college CEO role in implementing change.

Richardson, Blocker and Bender (1972) used a review of selected literature and personal experience, combining theory and practice to suggest alternative administrative styles in community colleges. They said that the early community college CEO was autocratic, making decisions with little regard for faculty consensus and collegial process. They found that non-consultative decision-making process and rigid bureaucratic administrative styles had changed because of faculty militancy and student unrest in the 1960s. The authors saw an evolution in CEO management from the authoritative administrative style often found in secondary schools to one that tended toward the collegial and/or political style. As noted in Chapter I, Bensimon's (1984) work did not support this contention. Using a review of ERIC literature, she noted that community college administration tended toward a governance style that is characterized by bureaucratic procedures and administrative control of decision-making processes. The difference in views relative to appropriate and existing administrative styles and board/faculty perceptions may impact the frequency and nature of CEO succession.

Moore (1971) criticized the preparation of community college administrators as generally inadequate and misdirected. He claimed that the community college is a hybrid of secondary schools and four-year institutions. Consequently, the CEO must perform his/her official duties in an environment with characteristics common to both secondary schools and four-year institutions. Secondary school characteristics included dealing with vocal local constituencies and working with an open enrollment philosophy. Characteristics of four-year colleges with which a community college administrator must contend include dealing with a faculty that seeks and expects autonomy, a faculty with an expectation of collegial institutional governance and students with a consumer orientation who expect to receive full educational value for tuition paid.

Summary of prior research on community college CEOs

Carbone (1981) dismissed the idea that all presidencies are alike, saying instead that each is different in ways that are defined by institutional traditions, governance systems, size and type. Bensimon (1984) reported and Cohen and Brawer (1984) assumed that the community college was a formally designed hierarchy, with clearly defined lines of communication, authority and responsibility. What a CEO does or is permitted to do in a community or junior college is guided by factors that include institutional tradition and history, CEO background and demands of the board. The CEO may have little control over some of these factors.

Community college administration has evolved from what was originally an informal configuration to a more formal, bureaucratized system of management. At the onset, there was only limited procedural guidance and great latitude for administrators to make decisions and act as they saw the need. This informal administrative environment has changed to a well-defined bureaucracy with formal rules and procedures and reduced latitude for administrative decision makers (Fields, 1962).

Bensimon, Neumann and Birnbaum (1989) said that "community college presidents...give greater importance to attributes associated with the heroic image of bureaucratic leadership, such as integrity, good judgement, and courage than to attributes associated with the symbolic frame, such as tolerance for ambiguity and curiosity" (p. 54).

Vaughan (1983) noted that change is slow in community college administration and that an authoritarian management style is still common. Whether community college CEOs in the 1980s operated in an authoritarian style or in a collegial and participative style was unclear from the literature. The literature did suggest that a collegial/participative management style was most desired for community colleges. However, the operative management style on most community college campuses was authoritative.

Studies of CEO Succession

Introduction

This section reviews selected literature of CEO succession. The literature available is the product of research conducted in many organizational environments other than education. (See Appendix A for a table summary of major succession studies.) Community colleges were not significantly represented in this literature. There is research to suggest that studies conducted in other organizational contexts may not generalize to an academic setting (Green, 1982; Kruse, 1986; Corson, 1979). This section reviews selected literature on succession and the CEO, and on succession and governing boards. This section also reviews selected literature of the effect of critical incidents, e.g., any unanticipated change in the internal or external environment of the organization on organizational structure or performance. Additionally, this section reviews selected literature of succession and informal power groups and persons. These informal power groups and persons are defined for purposes of this study as individuals or groups of persons who, for reasons of long service in an institution and/or personal relationships, may exert unofficial power or control over some part or all of the organization. Finally, the literature of CEO succession is summarized.

Impact of new CEOs on the organization

Conventional wisdom often attributes organizational success to chief executive officer effectiveness (Brown, 1982; Grusky, 1963). One mechanism that successor CEOs use to assure improved organizational effectiveness is strategic replacement. In Gouldner's (1954) case study of a for-profit gypsum board plant, he examined the effects of an unplanned management succession. In this study, he reported the strategic replacement phenomenon. Gouldner (1954) concluded that strategic replacement of key subordinate supervisors was a mechanism used to establish or reopen channels of communications which had become closed or disrupted following a succession.

Brown (1982) conducted a longitudinal study of the impact of successor coaches on professional football teams. Coach successions were often followed by the replacement of assistant coaches and the departure of some players. Outside successor coaches appeared to be related to more player replacements than were inside coach successors.

Helmich and Brown (1972) studied the effect of inside and outside successors on organizational change. They reported that organizations experiencing outside succession tended to exhibit more change in the executive role constellation in the two years following succession than did those that had experienced inside succession.

Helmich and Brown's finding that suggests CEO succession is followed by membership change and/or role change in the executive role constellation was recurrent in the CEO succession literature reviewed here. This literature also supports the concept that inside successor CEOs are less prone to strategic replacement behaviors than are outside successor CEOs.

Drawing on his own experience and confirming his impressions through confidential interviews with college and university CEOs, Stoke (1959) reported on and interpreted some of the problems that college presidents encountered. He noted that the most difficult problem a new president might face is that of incompetent assistants: persons who the successor CEO perceives as failing to accurately and promptly carry out their duties. These persons add to rather than relieve the CEO of the need to become involved in detail. The necessity for the president to replace those assistants he/she feels are incompetent and secure new, competent assistants involves very difficult decisions.

Stoke (1959) also noted that the concept of a new president assembling his or her own administrative team is more plausible than feasible. The idea of forming a new team holds intuitive appeal but is difficult to implement. Should successor CEOs routinely be able to form a new constellation of administrators, all administrative positions would share the job instability of the CEO. They would tend to be a personal rather than a career staff. Stoke did observe, however, that the movement of administrators among positions frequently increased following a CEO succession. Some CEOs often bring with them a former secretary and frequently, a provost hired by the predecessor will be asked to assume new responsibilities. Stoke saw these replacement and hiring activities as an effort by the successor CEO to improve communication within the organization.

Miskel and Owens (1983) used an opinion sampling questionnaire to assess the effects of principal turnover on school organizational structure and school effectiveness. They surveyed 89 midwestern schools, 37 with new principals and 52 with continuing principals. Miskel and Owens reported that principal succession did not significantly affect the previously developed linkages within the faculty and administration. They also found that a change in principals produced no significant change in faculty perception of how well the school accomplished its educational goals. This study supports Gamson and Scotch's (1964) findings of the no causal relationship between CEO succession and changes in organizational effectiveness.

Carlson (1961) tested the hypothesis that outside superintendent successors will tend to add more positions to a central office staff than will inside school superintendents during the same period. The study paired 35 schools that had experienced superintendent succession with

35 that had not experienced succession over the four-year period from 1952 to 1956. Carlson found that recent superintendent succession was related to the rapidity of increase in the central office staff. The 35 successor superintendents in the four-year study period included 12 who were insiders and 23 who were outsiders. Three of the inside successor superintendents and 14 of the outside successor superintendents increased the size of the central office staff. He concluded that outsider successor school superintendents increased the size of the central office staff more often than did inside successor superintendents.

Carlson's findings support another theme that recurs in the studies of succession. That is, CEO succession is related to changes in organizational structure. Successor CEOs tend to add personnel positions to the organization for which they have responsibility. Outside successors tend to increase the size of organizational staffs more than inside successors.

As discussed earlier in this study, CEOs are often seen as a primary factor in organizational change. This qualitative effect of a new CEO on organizational effectiveness was termed a "One-Way Causality Model" (OWC Model) of leader effect (Grusky, 1960). It is conventional wisdom that CEO changes result in institutional improvement (Brown, 1982). When Miskel and Owens (1983) studied the effects of school principal turnover, they did not find organizational disruption following succession as one of the effects of principal turnover. Miskel and Owens defined organizational disruption in terms of a degradation in school discipline, perceived loss of organizational effectiveness, reduced teacher job satisfaction, and lowered student opinions of school climate. Thiemann (1968) used a literature review to construct a partial theory of succession. Thiemann noted that a series of inside successions may tend to weaken organizational leadership over a long (but unspecified) period of time, thus necessitating the hiring of an outside successor to purge the organization. Thiemann did not define "purge" in his study. However, other researchers have suggested that an outside successor is a source of new or fresh information from outside the organization. Helmich (1974) referred to this quest for new extra-organizational data as seeking fresh environmental information which is required if the organization is to effectively adapt to environmental changes. The receipt of fresh environmental information appears to be similar to Thiemann's concept of purging the organization as does Gouldner's (1954) concept of strategic replacement. However, neither of these ideas was cited by Thiemann as synonymous with his concept of purging.

Grusky (1960) reviewed selected literature to determine the disruptive effects of succession on organizational structure and environment. He found that managerial successions which were predictable and expected by the organizational members produced less disruption than sudden successions, unanticipated by organizational members. He did say, however, that all CEO succession produced some organizational disruption, even if the succession were planned and expected by all concerned. These findings of reduced organizational disruption following successions which were viewed as routine by the organizational members are generally supported by Kerner-Hoeg and O'Mara (1980), Guest (1962) and Grusky (1964). Grusky further noted that routine CEO changes and short CEO tenure situations in military organizations tended to develop an authoritative leadership style in successors. Succession brings into positions of power in the organization new personalities with new administrative styles, ideas and techniques, thus threatening the established formal and informal relationships that may have developed during the predecessor's tenure. However, the more predictable and routine a succession appears to the members of the organization, the less disruptive the succession is to the organization.

Zoglin (1976) reviewed changes in community college administrator responsibilities, reporting on the political relationships and exercise of power in community colleges. Relying on personal experience as a member of a community college board and on a review of the literature, she observed that many decisions made in a community college were based on political and personal relationships rather than on empirical data that led to decisions based in logic. Zoglin explained how different groups acted and interacted in the community college environment. She concluded that community college administration was on a continuum somewhere between the hierarchial model of elementary-secondary schools and the participatory governance system often found in four-year institutions. Zoglin perceived that the community college governance system was moving toward a participative form of governance more resembling four-year institutions than secondary schools.

Grusky (1963) used an actuarial methodology to study effects of managerial succession on the effectiveness of 16 professional baseball teams between 1921-41 and 1951-58. He discovered a statistically significant relationship between managerial succession and organizational effectiveness. However, he acknowledged that it was not clear whether succession was the dependent or independent variable. Grusky (1963) then proposed a "vicious-circle model" of succession. This model posited that declining organizational performance produced a succession. This succession disrupted the organization, changing former political relationships and organizational structure and interrupting formally and informally established communication networks. This disruption further degraded performance, increasing the likelihood of another succession. Thus, a vicious circle of organizational decline, succession and decline followed by another succession.

While conducting another actuarial study of succession, Gamson and Scotch (1964) examined 22 professional baseball teams for the period 1954-61. They concluded that long-range organizational planning and policies were more positively related to team effectiveness (win-loss records) than were organizationally short-lived team managers. Gamson and Scotch (1964) concluded, unlike Grusky (1963), that many managerial successions were the result ritual scapegoating. Gamson and Scotch theorized that ritual scapegoating and its social appeal were part of an accepted societal myth that CEO succession leads to improved organizational effectiveness.

Statistically, Gamson and Scotch demonstrated a relationship between succession and organizational effectiveness. They acknowledged that the relationship was unclear and might be obscured by the myth of immediate CEO impact on organizational effectiveness. It is not clear whether findings of "no effect" of CEO succession generalize to community colleges. If these findings do generalize to community colleges, then community college governing boards expecting a rapid improvement in organizational effectiveness following forced CEO succession may not achieve their purposes.

Allen, Panian and Lotz (1979) analyzed performance of all major baseball teams between 1920 and 1973 in an effort to resolve the ambiguity they found in succession studies. They found that team manager succession had only a small impact on team performance. They suggested that inadequate team performance often precipitates succession. However, manager succession usually has only minor impact on organizational performance. The NWC Model of successor impact reported by Gamson and Scotch (1964) is affirmed by Allen, Panian and Lotz, while Grusky's (1963) OWC Model of successor impact was rejected in their findings.

Examining data gathered over a ten-year period, Birnbaum (1989) explored relationships between faculty perceptions of changes in institutional function and CEO succession. He administered a survey to selected faculty at 93 colleges and universities in 1968-70 and 1980-81. The survey instrument, the Institutional Functioning Inventory (IFI) intended to gain insight into faculty perceptions of institutional culture and changes to that culture, over the ten-year period of the study. Faculty perceptions were measured in 11 areas: freedom, human diversity, concern for undergraduate students, concern for advancement of knowledge, concern for innovation, democratic governance, concern for the improvement of society, meeting local needs, institutional esprit and intellectual-aesthetic extracurriculum. Birnbaum found no relationship between the number of CEO successions from 1970 to 1980 and faculty perceived change in any of the 11 areas measured by the IFI. In 91 of the 93 institutions, the survey showed very little change in any of the 11 areas. He suggested that the data would support either of two opposing views of CEO effect on institutions. First, CEO influence is limited by institutional stability and; second, CEOs cause institutional stability.

Roueche, Baker, Mullen and Omaha Boy (1987) attributed the change at Miami-Dade Community College to the CEO and faculty and staff of the college. Establishing and adhering to a basic mission was the most important factor in improving (changing) the institution. Roueche and Baker's conclusions agree with Gamson and Scotch's (1964), that long-range planning and policies were more positively related to team effectiveness than short-tenured CEOs.

Succession and increased bureaucracy

Research reports an increase in organizational bureaucracy following CEO succession. In his study of a gypsum board plant operation, Gouldner (1954) found that new CEO successors tended to increase the bureaucratic nature of the organization. They accomplished this through introduction of more rules, regulations and reports. He interpreted this increase in bureaucracy as a CEO effort to establish control in the plant. This tendency toward increased bureaucracy was a CEO effort to compensate for disrupted communications that followed succession. Grusky's

(1960) review of literature also found increased bureaucratization.

Thiemann (1968) developed a partial theory of CEO succession. He did not explain what part of the theory he was developing. Thiemann posited that, in order for an outside CEO successor to achieve the organizational effectiveness sought by a hiring board, the new CEO successor would tend to increase the bureaucratic form of the organization. Thiemann found that the outside successor would use a directive and autocratic management style and would, therefore, not be welcomed by the informal (unofficial) communications networks of the organization.

Grusky (1963), Thiemann (1968), and Gouldner (1954) consistently reported CEO successions to be disruptive to the organization. There is less agreement on the extent of this disruption. Additionally, there is little consensus on the impact of other factors such as the conventional wisdom which assumes improved organizational effectiveness following succession. The impact of CEO succession on community colleges was not found in the literature.

New CEOs and strategic replacement

Thiemann (1968) also described the phenomena of subordinate resistance to a new CEO. He found that new inside CEOs often had to replace some subordinates who resisted their efforts, or conform to subordinate expectations, if the inside successor expected these resisting subordinates to give him/her acceptance and support. Thiemann and Gouldner both used the term, "old lieutenants," to describe key subordinate supervisors and administrators. Thiemann found that the successor who inherited a predecessor's administrative team (old lieutenants) may find them amenable to change. If they are not accepting of organizational change, the new successor will have to change their expectations of how the organization will accomplish its goals. However, the strategic replacement of an old lieutenant may not produce the support the new successor expected. Replacements, like the old lieutenants, have expectations and personal goals which the new CEO must consider if organizational tasks are to be accomplished.

In his gypsum board plant study, Gouldner (1954) noted resistance to the successor by informal power groups. The resistance to change threatened the success, and therefore the tenure, of the successor. The new CEO considered strategic replacement of key subordinates as a method of establishing control. The successor considered bringing in new persons to the plant without terminating any incumbents. This plan involved new costs for the plant and for that reason was not judged an acceptable solution. The successor also considered other options, including the termination of some old lieutenants and replacement with persons loyal to the successor or co-opting the old lieutenants' loyalty through better benefits and increased salary. The co-opting of old lieutenants was also considered an unacceptable solution to the problems of communication and resistance to change which the successor faced. The old lieutenants who were the objective of the co-option effort perceived that they were only receiving what they deserved for long service with the company. Gouldner said the final option, that of terminating some old lieutenants and replacing them with persons loyal to the successor, was most acceptable for reasons of minimized organizational disruption and cost savings.

Gouldner (1954), Thiemann (1968), and Grusky (1960) are consistent in reporting key administrator turnover following succession. Guest (1962), however, found no strategic replacement following succession in the automobile plant. CEO and governing board understanding of the potential relationship of CEO succession and strategic replacement activities that may follow will contribute to better decision making when selecting a successor.

CEO successors and governing boards

Guest (1962) compared Gouldner's (1954) study of succession in a gypsum board plant to his own study of succession in a large automobile manufacturing plant. Guest noted that institutionally derived pressures and expectations (board demands) shaped successor actions. In Gouldner's study, the board required that the successor make major organizational improvements. The successor was given detailed instructions and understood that good organizational performance was a precondition to his remaining in the position. In Guest's study of CEO succession in the automobile plant, the board gave the successor general guidance and an assurance of board support. Consequently, the successor in the Guest study was in a less threatening job performance environment than was the successor in Gouldner's study. Each board/successor relationship was manifested in the managerial style of the respective successors.

Close board scrutiny and control produced an authoritarian administrative style which Gouldner labeled "punishment-centered." The general guidance and board support which Guest's automobile manufacturing plant successor received resulted in a representative management style. In defining the terms "punishment-centered" and "representative" management style Gouldner (1954) modified Weber's (1947) concept of authority based on discipline and called this management style "punishment-centered." Weber's concept of authority based on expertise Guest (1962) called a "representative management style." The punishment-centered style tended to result in strategic replacements and increased bureaucracy (Gouldner, 1954). There were no strategic replacements associated with the representative management style used by the successor in the Guest study. Guest also noted that the nature of succession, routine or unexpected, may have been related to organizational reaction to succession. Kerner-Hoeg and O'Mara (1980) found that routine successions in US Army battalions were not disruptive. They concluded that the reason for little or no disruption following succession was the routine and accepted recurrence of CEO successions.

The nature of the succession (routine or unexpected) and successor/board relationships affect successor administrative style and organizational response to the succession and the successor. Community college governing boards may benefit from an improved understanding of the relationship between planned succession and board expectations of organizational response to succession.

Thiemann (1968) reported that boards tended to have unreasonably high initial expectations of outside successors that, when unrealized, eventually eroded the outside successors' effectiveness within the organization. Inside successors were not subject to the same governing board expectations and tended to maintain the status quo. Thiemann also reported that organizational stability and board expectations of inside or outside successors may produce unexpected and/or unacceptable results. This potential for unpredictable outcomes of succession should be understood by community college CEO successors and governing boards if the institution is to benefit from succession.

Effect of insider and outsider successor CEOs

In a later study that used a review of selected literature, Helmich (1977) examined the relationship among variables surrounding CEO succession in corporate organizations. The variables he considered included successor origin (inside or outside successor), successor style, and successor needs. He related these variables to predecessor tenure and the size, composition and recent changes in boards of directors. Helmich concluded that outside successors tended to exhibit a task-oriented leadership style. The task-oriented successors were deficient in satisfying their job-oriented needs. Helmich described job-oriented needs as the needs for self-actualization and opportunity for personal development and growth. Outside successors tended to show greater need deficiency than did inside successors. Helmich found that successor need deficiency was the most significant variable influencing executive (role constellation) personnel changes in the two-year period following CEO succession.

Organizational effectiveness and CEO succession

Helmich (1974) examined the relationship of administrator succession at high corporate levels and the growth of manufacturing costs in those organizations. Helmich selected 29 manufacturing firms from an original population of 2000 experiencing presidential succession in 1964 or 1968 to study. He analyzed the differences in means and variance of a researcher selected group of successors. The analysis showed that inside succession (a phenomenon that Helmich called a non-adaptive pattern) was related to low organizational concern for acquiring and using environmental information. An adaptive pattern, that is, an outside succession, typically reflected an organization with a desire for environmental information.

Cohen and March (1974) suggested that as future four-year college and university administrators rise in rank and status, they must pass through a series of informal socializing experiences which Cohen and March termed a filter. They are assessed at each passage through the filter for compatibility with professional norms and philosophies. Community college boards selecting successor CEOs may consider the applicability of the Cohen and March concept of socializing filters. There is a resulting question as to whether a person who has risen in the community college system is a true outsider with fresh environmental information or is a cosmopolitan whose only change is one of geographical location. This question is a pertinent and appropriate one for hiring boards to consider when selecting successors.

Vaughan (1986) noted a pattern or "track" which led to the community college presidency. Over half of the CEOs responding to Vaughan's survey had served as institutional chief instructional officers or as vice presidents immediately prior to assuming CEO positions. This track reported by Vaughan may be a working example of Cohen and March's (1974) socializing filters concept.

Eitzen and Yetman (1972) examined the effects of coach succession and tenure on team effectiveness. They used the 1970 Official Collegiate Basketball Guide to gather data on team performance from 1930 to 1970. Analyzing win-loss records and number of coaching changes in the selected schools, they reported an inverse relationship between coach turnover and team performance. These findings agree with those of Grusky (1963) to the extent that Grusky noted a relationship between coach succession and team effectiveness. However, Grusky could not determine which of these two variables was dependent and which was independent.

Thiemann (1968) observed in his study that an inside successor with a good board relationship will tend to maintain the status quo, causing fewer changes. When an inside successor does attempt to change the status quo, using techniques such as strategic replacement, these efforts will have little effect because of the resistance of friends and enemies within the organization. Thiemann also noted that boards tend to search outside the organization when a certain (but unspecified) degree of organizational instability is reached and rejuvenation is required. This search for an outsider appears to be a search for environmental information, the adaptive pattern suggested by Helmich (1974). Governing board decisions on CEO succession must consider institutional need for environmental information as they select a successor CEO.

Examining the occurrence of succession within school districts, Berger (1983) conducted a case study using a volunteer sample of 56 school districts experiencing enrollment decline over a 10-year period. The 10-year period started with the year of peak enrollment for each school studied. Data analysis indicated that school boards saw the succession, either in the form of terminations or encouraged retirements of K-12 superintendents, as ushering in a new era of organizational effectiveness. Berger's study supported the conventional wisdom of the positive effect of succession. Governing and hiring boards that expect institutional improvement following a succession should be aware of potential effects of succession. A successor who is directed by the governing board to make major organizational changes may be expected to cause disruptions. Gouldner (1954) observed in his study of the gypsum mining operation that boards of directors used leadership change as a method of changing institutional direction, aiming at improved organizational effectiveness.

When studying the effects of succession on school districts experiencing decline in student population, Boone (1982) used case study methodology and statistical analysis of student outcome data, per-student expenditures and teacher-student ratios. Boone found no significant difference in succession effects, succession timing, or successor origin on performance outcomes of students, per pupil expenditures, teacher-pupil ratios or the timing of school closing.

The studies sought answers to the question of the effect of CEO succession. Their findings were conflicting. Whether study of different situations or other factors, such as rigor of the study design, affect these findings was not clear. The conflicting nature of CEO-succession-effects studies may tend to support the Gamson and Scotch (1964) concept of no short-term CEO succession effect on the organization.

When studying the effects of principal succession on elementary schools, Cosgrove (1986) interviewed and conducted field studies in ten schools. Of the ten schools, five had experienced recent (within one year of the study) successions and five had not experienced a recent succession. Cosgrove found that principal succession does affect elementary schools. She found differences between the schools that had experienced succession and those that had not experienced succession. Teacher knowledge of principal interests was greater in schools experiencing recent principal succession.

Similarly, consensus on school themes and values and teacher attribution of principal influence on the school culture was greatest in schools with recent principal succession. Cosgrove found no differences between schools in faculty expectation and acceptance of change, decision making, degree of teacher autonomy, school culture and level of job satisfaction.

Lubatkin and Chung (1985) saw a relationship between origin of successor (insider or outsider) and organizational performance, noting that in prior research, the link is conceptually strong and empirically weak. Lubatkin and Chung studied 166 large firms that had experienced succession to determine top management effectiveness in conditions of profit or decline. (Organizational effectiveness was operationally defined as the financial health of the firms.) The 166 firms were selected from those listed on the Computation Industrial Files. They examined these firms for a five-year period prior to and following the succession to determine the differential effect of insider and outsider successors on organizational effectiveness. One hundred-fifty of the firms had experienced insider succession and 16 had experienced outsider succession. Organizational profitability for a five-year period following succession constituted the measure of financial health of these firms. Firms were divided into prosperous and declining firms for purposes of analysis.

Lubatkin and Chung found that CEOs do have a rapid impact on organizational effectiveness. This finding supported conventional wisdom. Sixty-eight percent of the successions occurred in crisis (declining) firms. That is, the CEO was replaced on the assumption that a CEO change would result in improved organizational effectiveness (profitability). They also found that outsider successions were not positively or negatively associated with changes in organizational profitability.

CEO successions and the political environment

CEO successions and governing boards may be closely related. The political environment must be considered when CEO succession decisions are made. Moen (1976) surveyed local newspaper accounts of elections, using telephone interviews and questionnaires to examine the effects of partisan elections on school district governance. Moen also examined the relationship of partisan elections to incumbent school board member defeat and turnover of superintendents in the district involved. The study was of 192 school districts in Pennsylvania, each of which was governed by a nine-member elected board. The boards had the authority to hire and fire school superintendents. Moen concluded that defeat of a school board incumbent in a primary or general election was the most accurate predictor of involuntary superintendent turnover. The political environment of the school system was an important factor when anticipating succession. The findings, e.g., political impact of board incumbent change on CEO succession, were not confirmed in a similar study conducted by Bradshaw (1974) in a community college context.

Bradshaw's (1974) study, like Moen's (1971), examined the relationship of community college CEO succession to changes in district governance board membership. Using 12 community college districts in California from 1956 to 1972 and 21 CEO successions that occurred during that period, he conducted structured interviews with predecessors and successors. He also reviewed public and institutional documents related to the successions. Bradshaw concluded that community college CEOs did not experience the abrupt involuntary successions that Moen found in school districts following a governing board change. Community colleges and school systems did, however, have comparable turnover rates. Bradshaw concluded that the greater career options of community college CEOs functioned to produce succession rates similar to those related to incumbent defeat in K-12 school systems. While turnover and consequently succession rates for K-12 and community college CEOs are similar, there appeared to be causal differences for succession in the two contexts. Bradshaw noted that data on the topic of CEO succession and governing board membership were limited and might warrant further study to determine if perceived differences exist.

Informal groups and CEO succession

Gephart (1978) studied informal (unofficial) power groups that forced a CEO succession. He developed a grounded theory of pre-succession predecessor degradation. He defined degradation as complex sequential ritual during which power and status were stripped from the predecessor and passed to the successor. The researcher, acting as a participant-observer and using organizational documents, used case study methodology in conducting his study of a graduate student committee. Gephart found that the development of informal power cliques within the committee produced degradation of the incumbent and his eventual replacement by a new CEO.

Fauske and Ogawa (1985) used observation, interview and documentary evidence to examine how an elementary school faculty made sense of the forthcoming succession of its principal. They sought to identify patterns in the norms and beliefs of the faculty as they became aware of the forthcoming succession of the school principal. Fauske and Ogawa noted that the individualistic nature of teachers was manifested in several ways, including instructional isolation, the interpersonal bonds that develop between teachers and students and the reward teachers receive for success of individual students. Fauske and Ogawa concluded that the individualistic nature of teachers affected how they made sense of a principal's succession in two ways. First, the norm provided a psychological boundary between the teacher's domain, a classroom, and the principal's domain, the entire school. Second, individualistic teacher norms provided a standard against which the status of the principal could be degraded. The principal's defense of school norms was inconsistent with but compared to the teachers' norms by the teachers. The principal's status was degraded for not thinking and acting more like a teacher.

This study supports Gephart's (1978) findings of predecessor degradation. Fauske and Ogawa used a research approach similar to the constant comparative method described by Glaser and Strauss (1967). The origin of the community college in the K-12 educational system may permit generalizations to be made of community college faculty pre- and post-succession perceptions and responses to CEO succession. However, the literature does not provide evidence that such generalizations can be readily made.

Critical incidents and CEO succession

Changes in organizational mission, increased or decreased resources or other incidents critical to the organization may impact the organization in different ways. Bjork (1985) used case study methodology when analyzing the events following a CEO succession at the University of New Mexico. He found that a change in institutional mission, which gave new emphasis to research, resulted in the creation of a new senior administrative position.

Gouldner (1954) observed that introduction of new expensive equipment into an organization resulted in the addition of administrative personnel positions in the organization. Changes in institutional mission or purpose also tend to expand the formal organizational structure. If these tendencies for an increase in administrative positions generalize to community colleges, a governing board action to cause a CEO succession may be expected to result in an expanded organizational personnel structure. Gouldner's findings suggest that factors other than CEO succession may be related to changes in the executive role constellation.

Fullagar (1989) statistically examined relationships between institutional performance (defined in terms of revenue and enrollment), institutional control and function, and CEO succession in higher education. She found that institutional revenue increases in the fifth year prior to succession were related to succession at the $P<.01$ level. She speculated that performance change in higher education measured by revenue increases may present challenges to leadership which may be reflected in a succession.

Carlson (1961) examined the relationship between the insider/outsider nature of successors to board selection of successors and governing board expectation of changes in school effectiveness. He used observation, interview and documentary research, as well as secondary analysis of data gathered previously for published articles dealing with elementary and secondary school superintendents. He examined four public school systems with recent CEO successions. Carlson concluded that school systems with an unsatisfactory administration (as perceived by the governing board) tended to appoint an outsider as superintendent. He also found that frequency of CEO changes appeared to be related to changes in student population. When student population changed significantly (as perceived by the governing board), a superintendent succession often occurred. CEO succession, whether following equipment and/or mission change, growth or decline or some other factor appears to be positively related to an increase in the size of the administrative structure of the organization.

Carroll (1984) studied the dynamics of succession in seven randomly selected American metropolitan newspapers publishers. His analysis considered the organizational context in which succession events occurred and place of the succession in the organizational life cycle. He attempted to clarify what he called "confusion" in research findings surrounding the effects of succession. He concluded that the first CEO succession experienced was the most crucial in the life of the organization. The greatest threat to the organization occurred when control was passed from a founding predecessor who had directly controlled the organization to a successor. Carroll's findings also supported Grusky's (1960) concept that CEO succession causes organizational disruption.

Carroll's study did not end the "confusion." It did add new information to a growing body of conflicting CEO succession research findings in succession studies.

Nadler (1982) used a case study to explore management of change during the reorganization of American Telephone and Telegraph, a situation he called an "uncertain future state." In this study he noted the development of a "fantasy" associated with organizational transition. The fantasy, he said, was that the employee uncertainty and organizational turbulence associated with change would eventually be followed by employee and organizational stability. Nadler observed that stability was unlikely to ever return and had probably never existed. This may be a manifestation of the Rebecca Myth at an organizational level. The hope for stability and the certainty of continuous organizational transition may tend to maintain high stress levels in employees and the organization. Grusky (1960) argued that high levels of stress are disruptive. Community college governing boards and new CEOs must understand the unceasing nature of organizational change and the relationship of organizational change to increased stress if post-succession turbulence is to be reduced.

Trow (1961) reanalyzed case study descriptions developed by C. R. Christensen (1953). Christensen examined 108 small manufacturing companies with imminent or recently completed successions. The manufacturing companies examined in the study were a non-random sample selected on the basis of accessibility and cooperativeness. How Christensen identified imminent successions was not stated. Christensen hypothesized that lack of planning for succession tended to be followed by a post-succession organizational performance slump. Christensen acknowledged that other (unspecified) relationships might obscure alternate possibilities in the cases. He found that failure to plan for succession tended to be reflected in reduced organizational profitability. Trow's reanalysis supported Christensen's findings. He reported a strong positive relationship between planning for a succession and reduced financial difficulty following the succession. Christensen and Trow agreed with Kerner-Hoeg and O'Mara (1980) and Guest (1962) that routine or planned successions are less disruptive than unanticipated successions. The turbulence associated with succession may be reduced with early planning and early notification to all concerned.

Summary: CEO succession

Governing boards do not have clear research to which they might refer relative to successor impact on organizational effectiveness. There are contradictory findings among prior research on the impact of CEO succession on organizational performance. Governing boards need more definitive information on the effects of CEO succession on community college organizations. Such information may help governing boards reduce institutional disruption by providing criteria for deciding whether to force or encourage a CEO succession in a declining organization.

Research identifies several factors related to CEO succession in a variety of organizational contexts. (See Appendix A for a table summary of major succession studies.) Many of these studies examined the relationships between effectiveness and CEO succession. The findings of these studies on CEO impact on organizational effectiveness were conflicting. Factors such as insider or outsider succession, extent of pre-succession planning, frequency and nature (routine or unanticipated) of succession and tenure of successor were examined. The literature reviewed did not clearly explain CEO impact on organizational effectiveness.

Summary of the Review of Selected Literature

Community and junior college CEO administrative styles and responsibilities have evolved over the history of the junior college/community college movement. The origin of the community college in the secondary school is manifested in a hierarchial, directive style of administration. Contemporary literature portrays the desired administrative style in community colleges as that resembling four-year collegial administrative style. There is disagreement as to the administrative styles employed on community college campuses. The literature portrays administrative styles that vary widely, giving differential consideration to faculty desires and expectations, controlling board demands and maintenance of institutional traditions.

Studies of CEO succession and its effects is a research area that has been addressed in a number of contexts. The studies provide conflicting information which may or may not generalize to the public community college. There are, however, concepts that recur in the succession literature. These include succession and organizational disruption, succession followed by changes in organizational structure and/or changes in membership of key subordinate administrative positions and post-succession activities (strategic replacement) to reestablish effective organizational communications. That CEO succession occurs is not arguable. The results of CEO succession, however, are often unclear. The effect of intervening but unrecognized variables in a study of succession may skew results significantly, resulting in studies of little practical use and further confusion for future researchers.

Research methodologies in succession studies have included actuarial examination of records, statistically analyzing data such as athletic team win-loss records and profit-loss statements of for-profit organizations to assess successor impact on organizations. Other studies have examined the effect of political activity on CEO succession, examining public records to statistically assess turnover rates in superintendents and governing boards. Different researchers using different methodologies have produced conflicting findings concerning the effect of CEO successions on organizations.

CHAPTER III: METHODOLOGY

Introduction

The purpose of this study was to discover a "grounded theory" (Glaser & Strauss, 1967) of community college CEO succession. The study of CEO succession concerns the identification, organizations and interrelationships of the general variables associated with the CEO succession process (Grusky, 1960). Succession research must consider the organizational context in which a succession occurred if research conclusions are to be meaningful (Carroll, 1984). The research should examine the political context in which successions occur (Moen, 1971, 1976). The variables induced by the CEO succession experience, CEO personality, institutional saga and the environmental complexity of the college may have a variety of permutations. Environmental complexity may be imposed formally by legislatures and informally by interested constituencies on the community college. The methodology used for this study of community college CEO succession categorized some of those variables to produce a substantive grounded theory of community college CEO succession.

This chapter reviews the conceptual framework, design methodology and procedures followed in the study. Terminology key to understanding research methodology and the constant comparative method of theory development are presented. This chapter also describes the selection of the initial study case and the rationale for selecting subsequent community colleges cases for examination. Finally, the procedures followed in the development of the data gathering instrument used in interviews are described, as is its subsequent modification as theoretical saturation of data categories guided the study to a conclusion. Theoretical saturation of data categories was defined by Glaser and Strauss (1967) as the condition that existed when "no additional data are being found whereby the sociologist can develop new properties of the category" (p. 61). That is, each newly discovered or identified data element only adds to the bulk of the data in a category rather than proposing a new category.

Conceptual Framework and Key Definitions

Terminology used in this inductive study does not differ from that commonly used in empirical research projects. Case study methodology was used in the development of theory grounded in the data. (The constant comparative method of theory development and grounded theory are defined and discussed beginning on page 88.)

Empirical research is a study in which a hypothesis or tentative proposition about the relationship between two or more theoretical constructs is developed for testing (Borg & Gall, 1983). Selltiz, Wrightsman and Cook (1976) defined a hypothesis as the consequence of our theoretical assumptions. Hypotheses are the statements usually submitted for actual testing.

The testing of a hypothesis in traditional research may lead to a theory. A theory is a set of concepts plus the interrelationships that are assumed to exist among the concepts. The theory includes the consequences that are assumed to logically follow from the relationships proposed in the theory (Selltiz, Wrightsman & Cook, 1976). Borg and Gall (1983) defined a theory as "a system for explaining a set of phenomena by specifying constructs and the laws that relate these constructs to each other" (p. 22).

In defining constructs, Borg and Gall (1983) presented three types, theoretical, operationally defined and constitutionally defined. They said that a theoretical construct is a concept that can be defined by referring to other constructs. A theoretical construct may be defined operationally by "specifying the activities used to measure or manipulate" that construct (p. 22). This study developed operationally defined construct(s) of CEO succession and succession effects as a way of presenting theory grounded in the data.

Isaac and Michael (1971) define case study research as the intensive study of the background, present status, and environmental interaction of a specified social unit such as an individual, institution or group. Selltiz, Wrightsman and

Cook (1976) define the case study as an "intensive study of selected instances of the phenomenon in which one is interested" (p. 98). A case study may concentrate on individuals, groups, communities or situations. The case study method may have a historical perspective, examining existing records to develop the case. The case study may also take a participant observer, structured, semi-structured or unstructured interview approach (Selltiz, Wrightsman & Cook, 1976). For this study, case studies were conducted at selected public community colleges that have experienced recent CEO succession. Recent CEO succession was operationally defined as a succession that had occurred between 1985 and 1987. The number of such case studies was dictated by the need for saturation of data, as prescribed in the development of grounded theory.

Grounded theory is the theory produced through the use of the constant comparative method of data analysis (Glaser, 1965; Glaser & Strauss, 1965). The constant comparative method of grounded theory development involves the concurrent gathering, collation and analysis of data in which the theory is finally "grounded".

Case study methodology and the constant comparative method of theory generation are complimentary research techniques. Case study develops a large volume of data that can be constantly compared to other, previously gathered data to generate grounded theory. The use of these two techniques in this inductive and exploratory study will result in more potentially useful and valid study results.

Case Study Methodology

Selltiz, Wrightsman and Cook (1976) noted that the case study is an appropriate technique to use in developing insights. They observed that, in case studies, a researcher's inquiry is constantly in the process of reformulation and redirection as new information is obtained. "Frequent changes are made in the types of data collected or in the criteria for case selection as emerging hypothesis require new information" (p. 98). Merriam (1988) said that a case study can test or build a theory, incorporate random or non-random sampling and include qualitative and quantitative data. Case study methodology permits the researcher to pursue and develop emergent relationships and concepts as the case study progresses.

A characteristic of case study methodology is intensity, whether the study is of an individual or a group. Both current and historical data may be included in the presentation of case studies (Selltiz, Wrightsman & Cook, 1976). The researcher seeks information that will explain and characterize the commonalities and unique features of the cases. Case study methodology permits broad, in-depth data gathering necessary for the generation of grounded theory.

Another attribute of case study methodology is that of its integrative powers (Selltiz, Wrightsman & Cook, 1976). Researchers may unify diverse bits of information into an integrated interpretation. Case studies allow the researcher to discover previously unsuspected relationships (Hopkins & Antes, 1990). Such integration may be desirable when hypothesis testing is secondary to evoking hypotheses. The integration of data gathered in case studies is suited to the constant comparative method of theory generation. They also noted that the case study method has been criticized as a projective technique that reflects researcher biases rather than objective interpretation of data.

Erickson (1986) observed that generation of empirical assertions and establishing evidence for those assertions were basic tasks when reporting case study research. When generating and validating assertions, the entire data are searched for evidence confirming or deconfirming emerging and previously generated assertions.

Borg and Gall (1983) observed that the case study researcher sacrificed generalizability--a hallmark of positivistic science--for a deep understanding of a single instance of the phenomena studied. They also observed that case study methodology was useful for exploratory research.

Many different methodologies may be appropriate for studying CEO succession. However, Miskel and Cosgrove (1984) recommended three longitudinal methods. First, they believed that case studies resulted in useful insights concerning CEO succession and institutional leadership. Case studies offered advantages for researchers, including examination of sociological processes in considering formal and informal aspects of the organization and the development of grounded theory of organization based on using an inductive method. A second methodology used in CEO succession studies was the actuarial study, a statistical examination of existing data on CEO succession (described in Chapter I). Actuarial studies of athletic teams were conducted by Grusky (1963) and Gamson and Scotch (1964). Salancik and Pfeffer (1980) studied CEO succession effects in 30 United States cities.

A third method recommended was that of naturally occurring field experiments. Naturally occurring field experiments examine changes to the organization that result from natural changes among personnel. Examples of naturally occurring field experiments include the Miskel and Owen's (1983) study of the effects of principal turnover in a secondary school setting. This study examined the naturally occurring events related to a forthcoming principal succession. The succession had been announced to the teachers affected by the change and to the public. The researchers did not attempt to manipulate the events or the study environment but rather studied events that occurred in the normal course of events, pre- and post-succession. Miskel and Cosgrove (1984) suggested that this third method, the naturally occurring field experiment, showed promise for studying CEO succession. They noted that each of these methods provided a different and useful perspective of the events surrounding CEO succession.

Case study was used as the data gathering methodology for this study. This study benefits from the flexibility inherent in case study methodology and the detailed nature of the data gathered as the result of intensive study of CEO succession at selected community colleges. These case studies reported the events surrounding CEO succession, related organizational climate and saga and the perceptions of key and peripheral actors who participated in or were affected by the succession. From an analysis of these data, a grounded theory of community college CEO succession emerged.

Procedures

The case study was initiated through a preliminary contact, first in writing and then by telephone, with the community college CEO. Appendix B contains a sample letter to the community college CEO. During the preliminary contact the researcher requested the CEO commit his/her college to participate in the study. Such participation included access to institutional histories, records and pertinent documents. Opportunities to interview key administrators, faculty and staff as well as the CEO were requested at the same time.

After the CEO agreed to participate in the study, the researcher reviewed pertinent documentary data to develop an understanding of the institution and its culture. The semi-structured interview followed the documentary review. Interviews were conducted with institution CEOs, opinion leaders in the community, institution, and faculty.

Tait, Bokemeier and Bohlen (1988) identified four methods that may be used to identify local opinion leaders. They termed local opinion leaders "community power actors" (p. 5). The four methods were: positional, reputational, decision-making and social participation. They suggested that each method or a combination of these methods could be used to identify persons who were influential in the community.

The positional method for identifying influential locals is the oldest and is based on the assumption that power resides in the persons occupying formal positions of power in public, private and volunteer organizations. The positional method further assumed that the persons occupying those positions are the decision makers.

The second method, reputational, assumes that all social relationships involve some power considerations between and among the various social actors. Reputation of individuals is an indicator of potential for opinion leader influence on community issues. The reputational method further assumes that merely holding a formal position of power is not a sufficient measure of power. Since power is intangible, it must be measured indirectly, based on perceived influence on community decisions.

The decision-making method traces the decision-making process during a crisis event(s) in order to identify who actually participated in the decision and whose suggestions and demands were instrumental and incorporated in the final decision. This method assumes that social power, which Tait et al. defined as "the capability to control the behavior of others" (p. 82), is achieved through effective participation in the decision-making process.

The social participation method of identifying local opinion leaders identifies persons active in community volunteer associations. Influence is directly related to the relative amount of participation in the various volunteer organizations. This method assumes that power to influence community decisions is gained through activity and office-holding in volunteer organizations.

Freeman, Fararo, Bloomberg and Sunshine (1970) compared the four methods and found little agreement, with one exception, in results gained when using the different methods. There was significant (74%) agreement (which they called overlap) when comparing reputational and positional methods of identifying local power actors. They observed that reputational leadership appeared to derive from position, not participation.

The reputational method was selected for identifying local opinion leaders for this study. Opinion leaders were selected by soliciting the names of approximately ten institutional and community opinion leaders from the institution CEO. These persons were then asked to provide the names of approximately ten of the most influential persons known to them. While such a procedure could generate up to 100 names, agreement on who were influential leaders led to, in practice, far fewer individuals. Thus, the persons whose names appeared most frequently were asked to participate in the study as interview respondents. Persons interviewed were selected from the second group of community and institutional opinion leaders. Each interview subject was asked to allow approximately a one-hour period for the interview. The interviewer used tape recorders and notes to create a record of the interview. Confidentiality of the responses obtained in the interviews is described on page 98. The interviews were evaluated and compared to documentary evidence and the remarks of other interviewees to identify and code emerging theoretical categories.

As theoretical categories became delimited by the growing body of data and reached saturation, or were repeatedly not supported (see discussion of category saturation on page 74), a substantive theory of CEO succession emerged. Data-gathering employed two primary techniques, interview research and documentary research techniques. These are described in the following sections.

Interview research

Borg and Gall (1983) described interview as a research technique used in survey research. It is unique in that the collection of data is through direct verbal contact between persons. This direct verbal contact is the genesis of the advantages and disadvantages of the technique. Isaac and Michael (1971) found the advantages to include the greater depth of information that is possible relative to a questionnaire or survey. An interviewer has the opportunity to probe a subject more deeply to obtain additional, more complete data. The interview also makes it possible to check the quality of communications between interviewer and respondent and evaluate the degree to which rapport exists between the subject and the interviewer.

The disadvantages noted by Isaac and Michael (1971) included cost, high demands on researcher time and the inconvenience of conducting interviews. Problems of subjectivity and bias may be present in interview research. Other complicating factors included vague antagonisms that might develop in the interview or, conversely, desires to please that develop in one or both parties. Additionally, data are gathered at a point in time, therefore, the researcher may fail to discover other important data.

Three forms of the research interview, the structured, the semi-structured and the unstructured interview were reviewed by Isaac and Michael (1971). Reliability is greatest in the structured interview and least in the unstructured. The semi-structured interview lies between the two in reliability. It requires more interviewer training and skill to adequately address significant points and avoid biasing the interview and the data produced.

The unstructured interview gives the interview subject broad flexibility to respond to interviewer objectives. Research objectives may be represented in a general or specific format in the interview instrument. The interview subject responds in a way and at a cadence that is most comfortable for him/her. Unstructured interview information is often of a highly personal and potentially threatening nature (Isaac & Michael, 1971).

The semi-structured interview is guided by a central set of structured questions from which the researcher may diverge to explore associated topics in depth. Complete and accurate information produced by direct questions is strengthened by additional data that encompass the more elusive and complex elements of a situation (Isaac & Michael, 1971).

Isaac and Michael (1971) said that the structured interview is based on a well-defined instrument that resembles a questionnaire. Amplification and elaboration of data discovered in the course of the interview is possible when using this approach only within narrow parameters. Structured interviews are aimed at developing specific data and are usually restricted in scope. A structured interview is recommended when there is need for accurate and complete information of a nature that fits into a structured inquiry instrument. This study uses a semi-structured interview to gather specific data, allowing the researcher and the respondent the flexibility to explore complex and elusive political and cultural aspects of CEO succession.

The semi-structured interviews were conducted first at the community colleges selected for the first case study. Subsequent case studies employed a combination of on-site and telephone interviews. All institutional CEOs were interviewed in person and on campus. The interviews were conducted in privacy. Data were collected using tape recorders and handwritten notes taken by the researcher. The interview began with the researcher describing the intent of the study to the respondent. The researcher described to the respondent all measures to be taken to assure confidentiality of responses. The researcher offered respondents a copy of the study synopsis upon completion.

Following the interview, the researcher coded the notes taken during the interview. Additionally, memos and notes prepared from the tapes were coded into categories. The data coding matrix is presented in Appendix C. Each successive interview produced more data, either contributing to previously identified theoretical categories or establishing new categories. The coding matrix, Appendix C, was used to simplify the analysis and to facilitate categorization of data into theoretically related fields.

Historical/documentary research

Barzun and Graff (1985) noted that historical evidence is usually found in written form. Written historical evidence may be found in handwritten manuscripts or printed documents, privately held or in the public domain and may be intentional or unpremeditated. The form of the evidence (handwritten or printed) and the nature of the ownership (public or private) are self-evident categories. The definitions of the intentional and unpremeditated categories, however, are less manifest.

Barzun and Graff defined intentional historical evidence as a case in which the author is interested in advancing his/her perception of the facts. The author is aware of the historical context in which the document exists. Intentional historical evidence may include letters or diaries of persons who expect them to be made public.

Unpremeditated historical evidence exists when the writer gives no thought to history or historical context as the evidence is produced. Unpremeditated historical records may include business records, laws and regulations. Barzun and Graff observed that unpremeditated historical evidence is not necessarily "pure," but may have been altered in some way for many reasons that may not be apparent.

When presenting examples of the different types of evidence of history, Barzun and Graff (1985) included under intentional evidence: written records (annals, chronicles, genealogies, memoirs, diaries and inscriptions), oral records (anecdotes, tales, sagas and recordings), and art works (video tape, films, pictures). The category of unpremeditated evidence included public and business documents, literature, customs, language, tools and letters.

When evaluating the quality of evidence, Barzun and Graff noted that each piece of evidence is subject to the perceptions and interpretations of the researcher. The researcher must review data critically to assess how genuine and how trustworthy the evidence is against some criteria which must also be evaluated. They suggested a "methodological common sense" (p. 168) or informed approach to evaluating the quality of historical evidence. Methodological common sense is based on education and special knowledge in the area of interest.

Constant Comparative Method of Qualitative Analysis

The constant comparative method described by Glaser (1965) and Glaser and Strauss (1965, 1967) is an inductive approach to theory discovery. It combines concurrent coding and analysis of data with theoretical sampling of data.

Glaser (1965), in his description of the constant comparative method, noted two research methods most commonly used in the analysis of qualitative data. The first is simple quantification of qualitative data in order to test a hypothesis. The data are first coded and then analyzed. The intent is to prove a proposition.

Second, a researcher or analyst seeks to discover new properties in the theoretical categories of the data and records those new properties in some manner. Researchers using this method constantly redesign and integrate or reintegrate theoretical concepts as new data are developed or new categories are identified (Glaser, 1965).

A third method of analyzing qualitative data is the constant comparative method. It uses concurrent coding and analysis, integrating the most useful characteristics of each of the previous two analytical methods (Glaser, 1965; Glaser & Strauss, 1967). The constant comparative method assists researchers in generating an integrated, consistent and plausible theory that is strongly supported by the preponderance of the data and sufficiently clear to be easily and partially or completely tested by quantitative research methods (Conrad, 1975).

The constant comparative method has four stages: comparison of incidents applicable to each theoretical category identified in the course of data gathering, integration of categories and their properties, delimitations of the theory, and writing the theory (Glaser, 1965). These four stages are not discrete and are not clearly sequential; each tends to move continuously and gradually into the next while prior stages continue to contribute to data analysis and integration. Data gathering, analysis integration, delimiting and writing theory may be concurrent activities.

In the first stage, each event or observation is coded into applicable theoretical categories through the comparison of incidents. Such coding may place a single event or observation into several theoretical categories. As an observation is coded into a category(s), it is compared with previously coded observations in the same theoretical category. As analysis and coding continue, the researcher may use what Glaser termed "memos" (Appendix D), researcher notes to aid recall of fleeting thoughts, and ideas that may serve to relate categorization and data analysis. They provide an intermediate means to record potential theoretical relationships (Glaser, 1965). This stage in the process is intended to gather data from which potential categories or theoretical relationships may emerge.

In the second stage of the constant comparative method, changes in the coding process result from the integration of theoretical categories and their properties. The comparison process changes from comparing individual observations with other individual observations to higher levels of comparison, where individual observations are compared with theoretical category properties that have been identified (Glaser, 1965; Glaser & Strauss, 1967).

Delimiting the theory is the third stage in the constant comparative method. Delimitation is necessary to constrain what Glaser (1965) termed a "potentially overwhelming task" (p. 441). Theory delimitation in the constant comparative method occurs to curb the size of the analysis effort as the data base grows and the theory develops. Should the researcher fail to delimit the theory, he/she would be required to compare each new datum with all previous data elements gathered. Delimitation of the theory occurs at two levels: the original category list used for coding and the emergent theory.

The original proposed list of theoretical categories is reduced over the course of the research as the constant comparison of observed events more clearly fit a smaller category set. This smaller category set then becomes theoretically saturated. Theoretical saturation is the condition that exists when the next set of data developed does not indicate a possible new theoretical category. The identification of data that reinforce rather than expand a theoretical category indicates theoretical saturation of that category.

Clarified and solidified theoretical categories delimit the emerging theory. Each new observation is applied to one or more of a shrinking number of theoretical categories. The theory is reduced to a smaller number of concepts predicated on the researcher's discovery of uniformities perceived through comparison of the original theoretical categories (Glaser, 1965; Glaser & Strauss, 1967).

As the study progressed, clearly identifying saturated theoretical categories and delimiting the theory became increasingly difficult. The researcher developed a Category Saturation Assessment Table (Appendix E) using a Microsoft Excel spreadsheet to assist in visualizing the saturation status of theoretical categories. The table was sufficiently flexible to permit adding emerging categories as each case study was conducted. Completed Category Saturation Assessment Tables and a summary table are at Appendix E.

In the final stage, writing the theory, the researcher collates theoretical memoranda prepared throughout the data gathering and analysis. The memos generated during data gathering provide category content. All memos pertaining to a category are summarized and further analyzed prior to writing the theory(s). The theory may be substantive or formal. A substantive theory is based on an empirically based inquiry. Formal theory is one based on a conceptual area of inquiry. The theory produced by the constant comparative method may also be propositional or discussional. Discussional theory may encompass many of the theoretical properties identified during the data gathering and delimitation stages of theory generation. Discussional theory is useful in the exploratory stage of theory generation. If a formal hypothesis is required, discussional theory can be translated into propositional theory. A substantive grounded theory is written for a given substantive area. Such areas might include CEO succession, professional organizations or race relations. Formal theory is developed from a conceptual area of inquiry such as formal organization, power and authority or role (Glaser & Strauss, 1965, 1967).

The manner of theory presentation (propositional or discussional) and the scope of the theory (substantive or formal) provide for the development of grounded theory tailored to the demands of the research topic and the needs of the researcher. A substantive theory presented discussionally may best fit the needs of a researcher conducting an exploratory study. However, a formal theory presented in a propositional format may be more suitable for a researcher who intends to test the generated theories quantitatively. A substantive grounded theory may eventually be the basis for the generation of a formal grounded theory.

Glaser and Strauss urged researchers to ignore prior research and reviews of the literature in the development of grounded theory using the constant comparative method. However, other researchers have employed prior research literature in the generation of preliminary theoretical categories to be used with constant comparative methodology to generate a grounded theory. For example, Bradshaw (1974) reported that his study of documentary data and the literature prior to conducting interviews provided a means of clarifying and corroborating information. Bradshaw said that a literature review prior to the interviews he conducted facilitated the interview process because a common base was established between the interviewer and the respondent.

This study adopted Bradshaw's early literature review approach as a means of identifying previously identified characteristics of CEO succession. While previous studies were almost all in organizational contexts other than community colleges, the universal nature of CEO succession and its possible applicability to community college CEO succession was initially assumed. The conduct of the study was expected to nullify, validate or change that assumption.

Data collected during the course of the interviews and document searches were analyzed for pertinent information and recorded on blank data coding matrices. (See Appendix C for design of matrix and guidelines for completion of each section.) Where appropriate, research memos were used to record thoughts, ideas, insights and observations to assist in forthcoming analysis of newly gathered data. As data gathering progressed, the delimitation of theoretical categories resulted in fewer, more dense categories. A grounded theory of community college CEO succession emerged as data gathering and category delimitation continued.

Selection of Institutions for Study

Research subjects were selected for geographical convenience to the researcher and for conformity to the previously established study delimitations: The succession must have occurred between 1985 and 1987 and the community college must be a public institution with a locally elected governing board. Wattenbarger and Sakaguchi (1971) described four governance structures for community and junior colleges. The governance structures they described are: a single board of education for all state K-12 educational institutions, boards responsible only for community or junior colleges, governing boards responsible for all public higher education institutions in a state, and state university governing boards which also administer community and junior colleges.

The governance pattern selected for this study was that of a board of education responsible only for community and junior colleges. Recency of CEO succession was tentatively established through a review of the 1983, 1984, 1985, 1986, 1987 and 1988 Guides to Community, Technical and Junior Colleges published by the American Association of Community and Junior Colleges (AACJC). Those community colleges that appeared to fit both governance and succession criteria were contacted by telephone to confirm the nature of board governance and tenure of the current CEO. This group of institutions (or institutions selected from the possible population) were contacted in writing (see Appendix B) with telephone follow-up to solicit CEO participation in the study.

A two-year period following succession was selected as the study period. Helmich and Brown (1972) used a two- to three-year period in their study of personnel turnover following organizational change. Moen (1976) used a three-year period in his study of superintendent turnover in Pennsylvania. The three-year period was an artifact of the school board election cycle central to Moen's study. Moen and Helmich and Brown were able to draw conclusions using two- and three-year study periods. A review of prior studies suggested that a two- to three-year study period following CEO succession was an adequate period for a new CEO to identify institutional requirements, act and/or bring to fruition some of the changes he/she intends. The primary criteria for selection of community colleges for study were institutional governance structure, recency of CEO succession and geographical proximity to the researcher.

Case Development

Case studies (Chapter IV) are presented in a general format that sequentially reports institutional history, background of the institution relative to CEO turnover, governing board changes and governing board involvement in the institution. Demographic data including tenure of previous CEOs, location of the institution, institution student population and local environment are also reported. This information is followed by a brief discussion of board/CEO relations prior to the succession. Data were also evaluated to determine whether changes were required in the research instrument at the conclusion of each case.

Each case study concludes with a discussion of theoretical categories affirmed or emerging and changes needed in criteria used to select subsequent case study institutions.

Sources of Data

Principal data-gathering techniques were the semi-structured interview and document search. Documentary data were gathered from institutional histories, dissertations or theses presenting institutional histories, newspapers, college catalogs, minutes and agendas of governing board and executive council meetings. Other sources included when available were articles prepared by CEO successors at the selected community colleges, publications of professional associations, and searches of ERIC data bases.

Study Instrumentation

Two semi-structured interview instruments were finally developed. One instrument was used when interviewing CEOs and the other when interviewing institutional and community opinion leaders. Sample semi-structured interview instruments are at Appendix F. As theoretical category saturation occurred, the instrument or its use was modified to address other theoretical categories generated from the case studies.

Respondent confidentiality

Respondent confidentiality and study replicability may conflict in a case study involving personal interviews and recordings that elicit sensitive information. Boruch and Cecil (1979) suggest that such conflicts are usually rare and minor. However, the researcher has a moral and legal obligation to maintain respondent confidentiality. The need to eliminate or minimize confidentiality problems without reducing the researcher's freedom to investigate social problems must be resolved prior to the onset of data gathering. They state that while a promise of confidentiality is often necessary to gain respondent cooperation and truthful responses, a simple reliance on trust is not sufficient. Additionally, the researcher must be able to track study respondents while maintaining their confidentiality.

Burgess (1985) noted a limitation of case study confidentiality. She observed that anonymity in case study research limits practical application of research findings. The subject(s) of an investigation do not receive feedback on study results.

Boruch and Cecil suggest several models for assuring adequate confidentiality of researcher data while maintaining researcher's freedom to study social problems. The model selected by this researcher was Boruch and Cecil's "Model B." This technique for assuring confidentiality permits interview of identified respondents, allows the researcher to check for complete and valid responses and destroy linking documents that would identify respondents. This technique leaves only anonymous information in each interview record. This technique has been used by the American Council on Education and the Michigan Institute for Social Studies.

In view of the potentially sensitive nature of some of the information developed in the course of the study and the prominent positions of many of the respondents in the community and the college, the mechanism described below was developed to assure respondent confidentiality. The researcher established an alpha-numeric code for each interview and each interview subject. The list of interview subjects and associated codes, an alpha-numeric linkage list, used to identify institutions and respondents was maintained in one copy by the researcher. The linkage list was also maintained separately from all other research data in a lock box to minimize the possibility of unauthorized access. Data gathered on magnetic tape were reviewed and evaluated, and tapes erased upon completion of the study.

The alpha-numeric code consisted of a one-letter prefix followed by a three-digit number sequence. The first of the series, A-111 was assigned to the first interview subject at the first community college selected for study. Code number A-112 was assigned to the second respondent at the same community college. The first respondent at the second community college selected was assigned code number B-111, etcetera. A separate alpha-numeric linkage list, in one copy, was established for each institution and retained by the researcher until destroyed.

This linkage list permitted the researcher to return to interview subjects should clarification of data have become necessary. This confidentiality assurance system was explained to each interview subject prior to the interview beginning. (See Appendix G, Linkage List.) Upon completion of the study all linkage lists were destroyed.

Each college was assigned a code letter for study reporting purposes. Where it became necessary to place a respondent in a job context, generic terms such as senior administrator, key community opinion leader or key faculty opinion leader were used.

Study Reliability and Validity

Reliability is a "level of internal consistency or stability of the measuring device over time" (Borg & Gall, 1983, p. 281). Reliability of the data gathered in this study was achieved through saturation of data categories.

Validity is the "degree to which a test measures what it purports to measure" (Borg & Gall, 1983, p. 275). Validity of the instrument was achieved through an expert panel evaluation of the semi-structured interview instrument.

A proposed list of 18 panel members was developed by the researcher and the researcher's major professor. These educators were contacted by mail, soliciting their participation and asking that they evaluate and comment on a draft data gathering instrument. Of this group of 18 educators, six responded positively to the request (Appendix H). One person declined and 11 did not respond. The draft semi-structured interview instrument (Appendix I) and a stamped self-addressed envelope were forwarded by mail to the six-member panel for comment and return.

The researcher received comments from the panel orally and in writing. The researcher used the expert panel comments to guide instrument redesign prior to commencing the data gathering stage of the study. (See Appendix F, Final Semi-structured Interview Instrument, CEO Interviews and Final Semi-structured Interview Instrument for Opinion Leaders.)

The comments and recommendations of the expert panel were in three areas: format, assumptions concerning participating college governance systems and the tenor of the instrument. Three members of the panel suggested that the instrument be separated into two parts: one for community college CEOs and another for all others interviewed. One member of the panel noted the assumption inherent in the draft instrument was one of a problem oriented predecessor departure. Two members of the panel noted another assumption inherent in the draft instrument. The assumption was that all community college board/CEO governance structures were the same across the study population.

The panel provided other comments, generally of an editorial nature. The researcher considered those editorial comments and accepted or rejected them as the instrument was revised.

Panel comments and notes taken by the researcher pertaining to instrument revision were retained by the researcher until the study was completed and then destroyed. A copy of the initial draft and final instruments are in Appendices F and I. Letter exemplars requesting participation in the expert panel, letters of appreciation and panel follow-up are also found in Appendix H.

Summary

This chapter reviewed relationships of traditional research and theory development to the constant comparative method of developing grounded theory. The chapter also described the research methodology used in this study. The rationale for selecting case study institutions and the manner in which each case study was described were presented in this chapter.

CHAPTER IV: CASE REPORTS

Introduction

This chapter presents four case studies and analyses of community colleges that underwent a change in CEO from 1985 to 1987. Only the data relevant to the preliminary theoretical categories identified in Chapter I and possible emerging theoretical categories are described.

The first case study was examined to assess data conformity to previously identified preliminary theoretical categories. Data from the first case were also examined to identify emerging theoretical categories. Organizational diagrams and tables useful for understanding organizational and executive constellation change are also included with each case study. The second and subsequent cases are evaluated on the basis of constructs and categories emerging from preceding cases. This process continues until data saturation occurred and a grounded theory was postulated.

Organizational terms referring to governing boards such as board of trustees, board of directors or supervisors may be used interchangeably in case reports. Organizational terms referring to the CEO such as president and superintendent may also be used interchangeably in case reports.

CASE A

Data Sources

Data sources for this case included publicly available documents and semi-structured interviews. Documentary sources included local newspaper articles maintained in an institutional archive, institutional catalogs for the period 1985-86 to 1989-90, minutes of meetings of the board of trustees and the president's cabinet and a master's thesis reporting early institutional history. The data relevant to the preliminary theoretical categories identified in Chapter I are reported in this case study. Theoretical categories emerging during the case study are also reported.

Seven persons were interviewed, including the successor CEO. Of the remaining six interview subjects, two were members of the faculty, two were influential members of the community and two were members of the institutional administration. The methodology used to identify interviewees could generate names of about 100 persons as influencers. Interviewees selected, with the exception of the successor CEO, were named most frequently by community and institutional opinion leaders. Names of local and institutional influencers provided by the successor CEO were frequently repeated. Frequently repeated names and the order in which they were given suggested a small number of interview respondents. Among the local influencers in this case were members of the governing board and institutional administrators.

Introduction and Historical Perspective

This case study reports events related to post-succession strategic replacement and institutional restructuring at a multi-campus, publicly funded community college in the midwest. The institution is located in a city of approximately 30,000 population. The institutional district is agrarian-industrial. Farming and heavy equipment manufacturing are major industries. Local opinion leaders and the successor CEO described the institutional environment as socially and educationally conservative.

The institution was founded in 1919 as a two-year college. The college later absorbed a second local junior college. The institution is now a comprehensive community college of over 2,500 full and part-time students (full-time equivalent [FTE] enrollment of 2,880). The budget is over 8 million dollars. The institutional district is an area of over 1,600 square miles and has a population of 114,000 persons.

There have been four CEOs since the multi-campus community college was established following consolidation of two junior colleges in 1966. The first CEO was appointed and served for two years. That CEO had been the college dean of one of the two junior colleges absorbed when creating the single, multi-campus institution. The longest tenure of any of the CEOs was over 17 years. Two of the three CEOs were insiders. The first CEO served for two years and was succeeded in 1967 by an insider. This second CEO was terminated after one year. The second CEO was terminated following institutional accreditation and fiscal difficulties at the institution. Interview respondents who indicated knowledge of the events surrounding the termination of the second CEO were reluctant to provide more detail. A third CEO, an insider, was then appointed and served as CEO for over 17 years. The fourth and present CEO in this study was appointed in 1986. He is an outsider. The present CEO has served his entire career in a single state and for that reason may be considered local. However, his commitment to specialized role skills as a CEO suggest he is a cosmopolitan.

Interviews with institutional senior administrators, community opinion leaders and faculty and a review of newspaper archives indicate that the third CEO was respected in the community. One local opinion leader, a businessman, stated that the predecessor CEO was "competent", "very well recognized by education and business leaders as giving well reasoned responses." Another opinion leader with over eight years of close association with the institution characterized the predecessor CEO as "steadfast," and "predictable," "status quo." A senior member of the institutional administration and a member of the Arts and Sciences faculty both said that the predecessor CEO was "fiscally responsible."

Both faculty members interviewed report that the predecessor was respected, but aloof and distant. A senior administrator stressed to the researcher that the predecessor CEO did not have "feet of clay," that he had "tremendous integrity" and was a "rock solid person."

According to newspaper reports, the third CEO assumed his presidential responsibilities while the college reputation was low following fiscal difficulties and loss of accreditation. A senior administrator reported that the predecessor CEO had to make "hard decisions" following "accreditation difficulties." Another high level administrator stressed to the researcher that the predecessor was not a dictator. Both senior administrators and both influential faculty interview subjects were consistent when reporting that the predecessor CEO was consultative, frequently providing information and opportunity for comments and input from all institutional constituencies. Newspaper reports and community opinion leaders indicate that the predecessor CEO brought a "sense of fairness and stability" to the institution. Senior administrators and senior faculty reported that the campus climate under the predecessor was "safe," "secure," and "predictable." The predecessor CEO retired. When he retired he was in good standing publicly with the board of directors.

The faculty members interviewed characterized the current CEO as a "risk-taker" who is less predictable than his predecessor. This unpredictability has caused some (unspecified) members of the campus community to feel less secure than was the case during the previous administration. The successor CEO said that the chairman of the board of trustees had emphasized that he (the successor CEO) need not be bound by the decisions and practices of the past. The successor CEO interpreted this to mean that he could make changes as he felt necessary to properly administer the institution.

The institution was regarded as stable and well led prior to the most recent succession in 1986. Interview subjects were unanimous in their high regard for the predecessor CEO and his accomplishments. Notwithstanding this high regard, newspaper articles, community opinion leaders, senior faculty and the chairman of the board of trustees indicated that the institution would benefit from a change in CEO leadership style. The selection process is discussed in detail on page 111.

Predecessor CEO Relations with Governing Board

CEO relationships with the board of directors of the institution prior to the succession appear to have been characterized by mutual respect and confidence. Local influencers reported that the predecessor CEO had a stable management style. Another local influencer said the predecessor CEO was "predictable" and maintained the status quo of the institution. Key community opinion leaders spoke well of the predecessor. They said he assumed the CEO position during a difficult period. He rebuilt the institutional reputation. He also supervised physical plant growth. Interview subjects repeatedly cited institutional physical plant growth and increased student population as evidence of predecessor success. Interviewees reported that the institution had a good reputation in the district. Newspaper articles reporting board of trustees meetings and predecessor CEO activities did not report any indication of conflict. Additionally, the researcher found no indication of strife when reviewing minutes of board of trustee meetings or newspaper archives. The predecessor retired voluntarily and in good standing with the governing board and the community.

Governing Board

The five-member governing board is locally elected, members serving for three-year staggered terms. Newspaper articles, local opinion leaders and key members of the institutional administration, board of trustees meeting minutes and president's cabinet meeting minutes all indicated that the board of trustees are institutional boosters. Newspaper articles reporting governing board activities and interviews with board members, without exception, were favorable. One local influencer claiming knowledge of governing board activities said that any difficulties that may have occurred between the CEO and the governing board were resolved in private and not in the news media. Newspaper articles and local opinion leaders indicated that the board wants institutional growth and improved service to the district.

During the period of the study, there were two changes in board membership resulting from lost elections. There were two other changes in governing board membership. One member resigned because of the demands of other duties. The other member retired from the board.

Selection Process

To select a fourth CEO in 1986, the board of trustees served as a committee of the whole. A consultant was hired from within the state to assist in the search process. The selection of a consultant apparently involved a brief power struggle among some members of the governing board. One local opinion leader characterized the struggle being between the "conservatives," board members wanting to maintain the institutional status quo, who lost, and the "progressives," board members wanting institutional growth and increased service to the district, who won.

The consultant assisted the governing board in developing selection criteria for position announcements and a checklist used in screening applicants. The consultant provided the governing board with five applications for primary consideration and five applications for secondary consideration. Following review of the primary applicant qualifications, the consultant assisted the board in scheduling interviews with applicants prior to final selection.

Over fifty applications for the CEO position were received, five or six applicants were interviewed and two were considered qualified by the board for the position. Newspaper reports, interview subject recall and governing board meeting minutes do not agree on the number of applicants interviewed. A local influencer said that the two met criteria which developed over the duration of the search.

One opinion leader reported having knowledge of the selection process. He said a definitive position description of the proper person for the successor CEO evolved throughout the selection process. During the process the board collectively identified personality dimensions that they subsequently sought. The opinion leader said that the governing board was looking for "movement in new directions" and that the governing board expected the new CEO to "push into new areas." Opinion leaders, on and off-campus, and newspaper articles repeatedly used phrases such as "more visible" and "more aggressive" when describing desirable traits for a successor CEO. The researcher interpreted interviewee statements to mean that the successor CEO was expected to effectively market the institution and institutional programs in the district. The researcher also interpreted the data to mean that campus constituencies sought a successor CEO with a more participative management style than his predecessor. The successor CEO felt selection was based on educational background which included management and higher education degrees and broad and detailed familiarity with the state community college system.

Ultimately, the search was for a person who would continue and benefit from the predecessor CEO contributions and make changes. The successor CEO improved institutional marketing and increased institutional service to the district.

Changes in Administrative Organizational Structure and Executive Role Constellation Members

Pre-succession

There were no changes in membership or organizational structure of the executive role constellation during the two years (1983-85) prior to the CEO succession. The administrative organization of the college immediately prior to succession of the current CEO is at Figure 1. The CEO's span of control included campus directors, a continuing education director, financial services director and a director of student services. Additionally, the CEO had an administrative assistant who performed personnel duties.

<u>**Post-succession year and year plus one**</u>

There were no changes in administrative structure in the first six months (July-December, 1986) following the change in CEOs. There were, however, three title changes. Titles changed for the Director of Continuing Education, Director of Student Services and Financial Services Officer. The two director positions were retitled "dean" and the Financial Services Officer was retitled Chief, Business Affairs. The title changes did not change job descriptions and were not considered significant by the successor CEO or other key administrators (Figure 2). Title changes appear to have been based on the personal preference of the successor CEO.
In the first full year following the CEO succession (January-December, 1987), changes in structure included the addition of new positions and the relocation and strengthening of previously existing positions, including dean of instruction, economic development officer and personnel officer. (See Figure 3.)

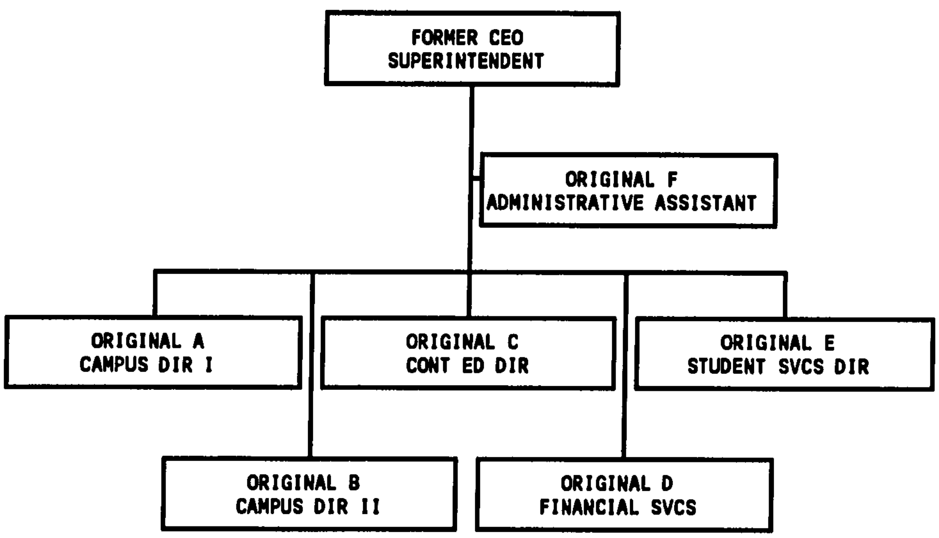

Figure 1: Executive succession (pre-succession year)

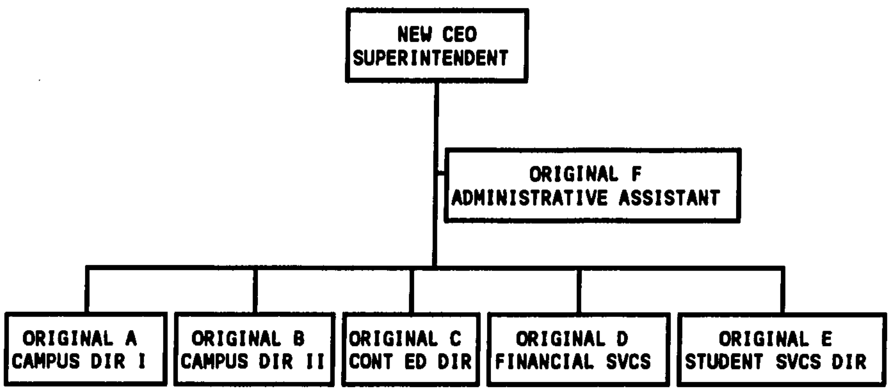

Figure 2: Executive succession (succession year)

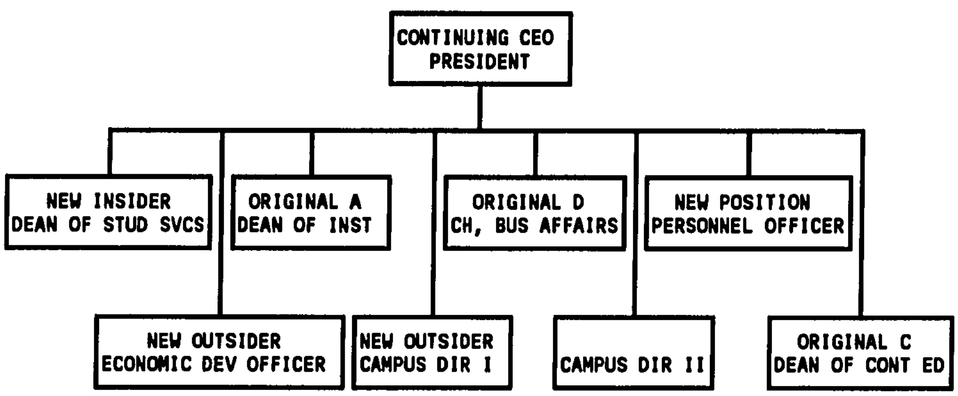

Figure 3: Executive succession (post-succession year)

The dean of instruction position had existed previously but had been "dormant" according to one senior administrator. According to one institutional opinion leader, the previous dean of instruction position had [unspecified] curriculum responsibilities and no authority. Prior to becoming dormant, the instructional dean's position had supervised curriculum development. Local and institutional influencers reported that the predecessor CEO was very effective as a builder, increasing physical plant size and adding to institutional facilities. The predecessor CEO was reported as less active and interested in curriculum. The researcher interpreted the predecessor's interest in institutional physical growth and lack of interest in curriculum development as contributing to the elimination of the dean of instruction position prior to successor CEO arrival in 1986. Under the successor CEO, the dean of instruction supervises the academic activities of the institution.

The economic development officer position and title were listed in college catalogs prior to the succession of CEOs in 1985-86 and 1986-87. However, the position was not reported in local newspapers and did not appear in governing board or president's cabinet meeting minutes until the successor CEO moved the position into the executive role constellation in 1987 and hired a new outsider.

This position was moved into a cabinet position because the new CEO wanted to stimulate economic development and federal, state and local grant acquisitions. The state legislature had assigned the community colleges administrative responsibilities for the state economic development programs. The community college CEO decided how to administer the economic development programs. In addition to economic development responsibilities, the successor CEO expected the new economic development officer to search for, write, and administer state, federal, local and private grants. The new economic development officer was previously known to the successor CEO because of professional activities in the institutional district. However, the successor CEO stated that he did not "pull folks along" with him. He said that he did not hire or encourage the selection of executive role constellation members because he had known them previously. The successful applicant competed with other qualified applicants.

Titles were changed from "director" to "dean" for the directors of student services and continuing education in 1987. Title changes were part of a reorganization proposed to the board of trustees by the successor CEO approximately seven months after he assumed his duties. According to an institutional document provided to the governing board, the reorganization had a goal of placing emphasis on three areas: instruction, institutional and economic development, and personnel. Additionally, the reorganization changed supervisor relationships for campus directors. Previously, they had reported to the CEO. After the reorganization they reported to the Dean of Instruction. Both senior administrators stated that the title changes, per se, did not change job descriptions of compensation. One influential faculty member said the changes were made to create an "aura." The researcher interpreted this to mean that the changes were related to successor CEO efforts to market the institution. The position of dean of instruction was recreated and filled by an insider. The first woman in the executive role constellation was an outsider. She was employed as the economic development officer. The position of economic development officer moved into the executive role constellation in 1987. The successor CEO indicated that one of his goals was to increase the representation of women in the executive role constellation.

A review and comparison of rosters and directories in institution catalogs indicate that one of the two campus directors, an insider, was appointed but replaced within a year by an outsider. College catalogs and president's cabinet meeting minutes were conflicting on the title and position of one key administrator who changed positions during this period. These different documents variously report the position title as supervisor and dean. The conflict may have been an artifact of the timing of the appointment and the effective date of the college catalog examined. The appointment date of the new person was less than ten days prior to the effective date of the examined catalog.

The successor CEO shared with the researcher his intent when changing the executive role constellation. The successor CEO said that he wanted to increase the instructional role of the institution. He said that the teaching function of the institution was important. The successor created a dean of instruction position to provide visible proof of his interest in instruction and to provide an administrator responsible for curriculum development and instructional supervision. The new CEO stated that he was aware of the potential benefits of bringing outsiders into the organization. He said he understood how outside administrators with different perspectives and experiences might contribute to institutional effectiveness. He also said he understood that a balance of insiders and outsiders in the executive role constellation was important for continuity and institutional health. He implied that a balance of insiders and outsiders would be most acceptable to the governing board and members of the institution.

In the second full year of the new CEO's tenure the CEO's title was changed from Superintendent to President. The governing board changed the title because it felt the title President more accurately reflected the position of community college CEO. The successor CEO stated that he did not consider the title change significant. In 1988, two years after the succession, the number of persons in the administrative council was unchanged but the shape of the organizational hierarchy had changed, new positions created, previously existing positions elevated or job responsibilities modified. The administrative assistant resigned in order to accept a position at another institution. A community opinion leader volunteered that the administrative assistant had recommended his position not be filled upon his departure. The departing administrative assistant told the interviewee that his position had become redundant. A new position of personnel officer had been created and filled by an outsider. During this period a dean had died and an insider had been appointed as replacement.

Summary of Upper Level Changes

Five top positions in the executive constellation (two campus directors and directors of continuing education, student services and financial services) were all changed within two years of the succession in 1986. Two central office directors, director of student services and director of continuing education, were retitled "dean", one retitled "chief" and one new dean position for instruction was created. The position of economic development officer was moved into the executive role constellation, duties expanded, and the position filled by an outsider. One campus director changed in the year following succession.

In the second year following CEO succession, there were three membership changes, including two outsiders appointed (both new campus directors) and one insider (dean of student services). Table 1 reflects the changes in structure and membership over the period of the case study.

These changes may be attributable to personality and management style differences between the predecessor and successor CEO. Local opinion leaders and senior members of the administration commented that the two were different in many ways. One local opinion leader said that "[the successor CEO] tends to communicate on everything with everybody," that "[the predecessor CEO] had his finger on everything," and that "philosophically [there is] a major change in how business is done."

All interviewees recalled that the predecessor was not a bad CEO, just different from the successor CEO. A local opinion leader said that "[the successor CEO] is more gregarious" and "easier to talk to." A senior institutional administrator said that the predecessor and successor CEOs are "totally different people." "[The successor CEO] is active on boards and in clubs; [the predecessor CEO] would speak but wouldn't join."

One influential faculty member commented that some [unspecified] persons had gained political power and others had lost political power following the succession. He described the change in political power in terms of who had gained and who had lost the "ear of the president."

Emerging Theoretical Categories

Preliminary theoretical categories identified in Chapter I of this study were supported. In the two-year period following CEO succession the institution:

a. changed organizational shape and job responsibilities of executive role constellation members. The new CEO eliminated positions in the executive role constellation as they became vacant, redefined job responsibilities, assigned new titles and created new positions.

b. experienced changes in several executive role constellation members following succession for reasons that included death of one incumbent, resignation, and the assumption of additional duties and titles.

Six emerging theoretical categories were identified. They are:

a. Successor CEOs may redefine previously existing institutional positions giving some previously invisible and powerless positions not formerly within the executive role constellation highly visible and potentially powerful loci. The successor CEO elevates the position because of environment or legislative requirements that he/she perceives in the area served by the college.

b. Governing boards may tend to search for and select successor CEOs who, because of personality and administrative style, epitomize the institution as the governing board wishes or imagines it to be. This successor CEO is expected to effectively communicate the personality of the institution and, in effect, personify "the institution."

c. Governing boards may seize opportunities such as predecessor CEO retirement to redirect the institution or redesign the shape of the institution or accomplish a combination of the above.

d. Governing boards may benefit from an outside consultant assisting in the search process and in defining what the college needs or wants as a successor. The consultant may assist the governing board in articulating the position description, institutional needs and governing board expectations to best describe, interview and select a successor CEO.

e. Governing boards may intuitively or consciously seek a "visible" and "aggressive" administrative style in order to effect institutional change and give a successor CEO latitude to capitalize on his/her style to change the institution.

f. Governing boards tend to select a successor CEO with a personality and/or management style different from the predecessor's.

There was no clear indication that post-succession changes had a direct effect on the fiscal condition of the institution. Faculty opinion leaders reported no clear improvement in the fiscal condition of the institution. Community opinion leaders reported increased CEO effectiveness in the community. Effectiveness was not clearly defined but appeared to be associated with the successor CEO's more "aggressive" and "visible" leadership style presented above.

Both faculty opinion leaders reported improved post-succession faculty morale. They attributed the improved morale to increased faculty, staff and student accessibility to the successor CEO.

In this case, it was not clear the degree to which an outsider might be considered a true "outsider." The successor CEO had spent his professional career in one state. Cohen and March's (1974) concept of "socializing filters" might suggest that such successors are not true outsiders. How the question of what is a true outsider is related to the hiring of "outside" CEOs may warrant greater attention.

The local versus cosmopolitan dichotomy is also unclear. He has served his professional career in one state and might be classified as a local. However, he is committed to the specialized role skills of a community college CEO and might be classified as a cosmopolitan.

The Rebecca Myth was not found in this case. The data were consistent and clear, the predecessor was well respected on campus and in the community during his tenure and is well respected since he retired.

No data developed suggesting the institution had elements of its history which held special meaning for the members of the campus community. An institutional saga did not emerge in this case. Interviewees provided history and background of the institution.

Research Instrument Modification

The research instrument was modified to ask the following additional questions:

a. In the hiring process for new executive role constellation members, was the inside/outside nature of the applicants considered when selecting finalists?

b. Were any of the new executive role constellation positions the result of external forces such as legislative mandate or local interest?

c. If the organizational hierarchy was shortened or flattened in the period since your becoming CEO, what was the intent of that organizational modification?

Case Summary

This case conforms to the conventional wisdom and research base which suggest that successor CEOs change the shape of the organization and change members of the executive role constellation. Emerging theoretical categories relate the governing board and its role in the search process. Board involvement includes seizing opportunities to redirect the institution, more effectively marketing the institution, and selecting a successor CEO different from the predecessor CEO. Governing boards may also benefit from outside consultant assistance in the search process.

This case also suggests that the concept of "insider" and "outsider" is a matter of degree rather than conformity to a simple definitional construct. Designating a successor as an "insider" or "outsider" based only on geographical location of employment or residence immediately prior to successions may ignore important factors. Successor background, professional relationship and experiences may tend to obscure the degree to which the definition of "insider" or "outsider" is applicable.

Table 1: Summary of pre/post-succession changes

The title "Directors" used in this and subsequent tables may reflect deans, directors, supervisors, vice presidents or other titles found at the second highest level of the organizational chart.

The title "Department Heads" used in this and subsequent tables may reflect directors, supervisors or other titles found at the third level of the organizational chart.

Position	Pre-Succession	Succession Year	Post-Succession Year
CEO	*	New CEO, Outsider	No Change
Campus Director	*	No Incumbent	New Incumbent, Outsider
Campus Director	*	Changing, No Incumbent	New Incumbent, Outsider
Cont Ed Director	*	Title Change	No Change
Financial Svcs Director	*	Title Change	No Change
Student Svcs Director	*	Title Change	New Incumbent, Insider
Admin Assistant	*	No Change	Incumbent Resigned, Position Not Filled
Dean of Inst	Not Extant	Not Extant	Position Created and Filled, Insider
Econ Develop Officer	Invisible	Invisible	New Incumbent, Outsider

Table 1 (continued)

Position	Pre-Succession	Succession Year	Post-Succession Year
Personnel Officer	Not Extant	Not Extant	Created and Filled, Outsider

* Original incumbent

CASE B

Data Sources

Data sources for this case included publicly available documents and semi-structured interviews. Documentary sources included organizational documents published by the state and institutional catalogs for the period 1985-86 to 1989-90, minutes of governing board meetings and president's cabinet meeting minutes.

Nine persons were interviewed, including the successor CEO. Of the remaining eight interviewees, two were opinion leading faculty members, three were community opinion leaders and three were senior members of the institutional administration. Interviewees, with the exception of the CEO, were those named most frequently by the community and institutional opinion leaders whose names were provided by the successor CEO. Those names which repeated most frequently and the order in which they were given suggested a small number of interviewees. Two persons, a community opinion leader and an opinion leading faculty member, did not respond to the researcher's letter or telephone calls requesting their participation in the study. Among the local influencers in this case were members of the governing board and institutional administrators.

Introduction and Historical Perspective

This case study reports the events related to post-succession strategic replacement and institutional restructuring at a two-campus, publicly funded community college in a midwestern state. The main campus is located adjacent to a city of approximately 60,000 persons. The other campus is located in a small city with a population of approximately 5,500 persons. The college was founded in 1966, absorbing a junior college that had been established 40 years previously. The predecessor and founding CEO served from 1966 to his retirement in 1987. State published documents indicate that the institution has over 3,700 full and part-time students (an FTE of 3,700), and a general operating fund of 12 million dollars annually. The institutional service area is agrarian-industrial. The area includes large corn and bean growing farms, light manufacturing and a major railroad junction. There is a major Department of Defense installation located within 20 miles of the main campus.

The successor CEO indicated that the college had only one other CEO, the founder. Prior to retirement in 1987, the predecessor served as CEO for over 20 years. During a period of less than one year, during the CEO search, a vice president performed duties as interim CEO.

Institutional administrators, influential faculty and local influencers stated that the predecessor CEO was viewed as a "builder." The predecessor CEO built the institution from one using temporary quarters in several separate locations in the community to a central campus with a modern physical plant, one major distant campus and several satellite instructional sites. The predecessor, as founding CEO, had led the college to a well-respected position in the community. Local influencers, key administrators and influential faculty reported that the institution had changed. The institution had needed a CEO who wanted to build the physical plant and acquire instructional resources. The new CEO needed to be a maintainer who could market the institution and increase services to the district.

A reversed Rebecca Effect may be seen in interviewee comments relative to differences in leadership style of the predecessor and successor. Early in the interview, one influential member of the faculty said that the predecessor was "respected and feared." Later in the same interview, the faculty member said that the predecessor was "highly regarded." The predecessor's management style was described as directive and non-delegatory. The predecessor was described by one key administrator as one who solicited recommendations from members of the administration but made his own decisions. The successor CEO's management style is described by the same interviewees as "consensus driven" and more "democratic." Interviewees, including local influencers, senior administrators and faculty and the successor CEO reported respect for the predecessor CEO and the results he had accomplished during his tenure.

This institution, like others in the same state, has experienced a reduction in fiscal resources starting in 1984 from which there has been a recent recovery (14+%) between 1989 and 1990. According to senior institution administrators and a locally influential business person, the reduction of fiscal resources was attributable to changes in state funding available to the institution rather than CEO actions.

The institution was regarded as stable and well led prior to the succession. The predecessor elected retirement, but, according to senior administrators and local opinion leaders, could have stayed in the position had he chosen to do so.

Predecessor CEO Relations with Governing Board

Minutes of governing board and president's cabinet meetings and interviewees including administrators, faculty and local community influencers indicated a board which provided strong fiscal, moral and media support to the predecessor CEO and the institution. When he retired, he was well respected by the governing board and the community. There is a single indication in board minutes that the board may have been divided on supporting the predecessor CEO. One board member voted against a salary raise for the predecessor

CEO. Board meeting minutes and interviewee responses do not suggest any indication of official conflict (other than the one noted above) between the board or the community and the predecessor CEO. However, one local opinion leader said that the predecessor CEO had "brought some negative baggage" with him when he left a previous educational administrative position in 1966. The opinion leader also said "some bad blood had held over." This "bad blood" may have contributed to the single indication of divided board support but the data are not clear. Overall, the relationship of the predecessor CEO with the board of trustees appears to have been cordial and professional.

A local opinion leader said that board feelings toward the predecessor were "positive." An influential administrator said the predecessor CEO was "respected" and he was "in charge." A faculty interviewee termed the relationship between the predecessor CEO and the governing board as "very supportive." The researcher interpreted these comments to mean that the governing board respected the professional and administrative skills of the predecessor. The governing board received and acted favorably on requests from the institution when presented by the predecessor CEO. A local opinion leader claiming knowledge of board actions said that there was "need for a new type leader," that the institution "needed an outside look" and that "[the institution] was ready for the next stage." The researcher interpreted the "need for an outside look" to mean that the institution would benefit from the new environmental information that an outside successor might provide. The "next stage" was not defined.

Governing Board

The nine-member governing board is locally elected. The members serve for three-year staggered terms. According to senior administrators and local influencers, the governing board was stable and noncontroversial in the community. Interviews with local opinion leaders and senior administrators indicate that, since 1985, there were no board members defeated for reelection. Interviewees said that most board members run unopposed and when members retire or resign, a new candidate must be actively sought by the board or the college administration. A senior administrator reported that a candidate "often had to be encouraged to run." The CEO and senior institutional administrators view the board as progressive. The board expects the CEO to make changes as required to meet district needs which may evolve. These interviewees also view the board as supportive of the CEO and the institution, willing to provide fiscal, moral and media support as needed and presented by the CEO.

Selection Process

Upon announcement of the pending retirement of the predecessor CEO the board of trustees established a subcommittee of board members to develop a search criteria and to announce the position vacancy locally and in various regional and national education news media. The board of trustees hired two consultants from the Association of Community College Trustees to assist in the presidential search. One of the consultants was a current community college CEO and the other an executive of the Association.

The consultants assisted the board of trustees in development of a position description used for selecting the successor and development of advertisements used in print media. They also screened applications for the board of trustees. The consultants offered information to the board on how other community colleges conducted presidential searches.

The board received 66 applications following announcement of the position. A senior administrator assisted the subcommittee in the selection process. This senior administrator also assisted in screening the applications. Additionally, the senior administrator, at the request of the board, surveyed faculty and staff following the on-campus phase of interviews and provided results to the board of trustees. The information was used by the board in the selection process.

An institutional administrator and a faculty member said that they made some basic assumptions concerning the successor CEO. The assumptions were that the successor would have a Ph.D., previous community college experience and other "technical" qualifications. Technical qualifications were not clearly defined, but were interpreted to include such certifications and qualifications as teaching experience and experience working with state government. The faculty and administration assumed that any of the applicants who were interviewed would meet the technical qualifications. The faculty and administration were most interested in the interpersonal skills of the successor CEO.

The subcommittee selected three finalists for interviews; none of the three was employed by the institution and the search was reopened. One finalist offered the position had accepted another CEO position. The remaining two finalists withdrew for personal reasons. The reopened search yielded 28 applicants from which three finalists were again selected.

During the reopened search, an institutional group representing trustees, faculty and staff visited the campuses of each finalist. This group spoke informally to faculty, staff, administrators and members of the community in an effort to develop a better appreciation of each finalist's management style and fit for the position. The visiting group communicated their impressions to the board of trustees. A senior institutional administrator reported that overall impressions of administrative style and interpersonal skills drawn by the visiting groups were remarkably consistent for each finalist. In the words of that person, there "was not a single difference" in the impressions drawn by faculty, administration or board members of the visiting groups.

Ultimately the current CEO was selected and assumed the position approximately 16 months after the departure of the founding CEO. The successor CEO met the technical qualification requirements established by the governing board and received unanimous approval from the visiting group.

A senior administrator said that "there was a change in what kind of CEO the school needed because of a change in board focus. The board wanted a different personality to address different needs." The researcher interpreted this to mean that the governing board wanted a successor CEO who would market the institution effectively and respond to district needs for new educational programs as they evolved.

The new CEO felt selection was based on a background that included four-year institution classroom experience, state government experience and prior experience as a vice president and community college CEO in another state. The successor CEO had served over twelve years as a community college CEO and two years as a community college vice president in a nearby state.

Administrators, local opinion leaders and the successor CEO all stated or clearly implied that the reason the successor CEO had been hired was because there was a good fit between institutional need and successor skills.

Changes in Administrative Organization Structure and Executive Role Members

Pre-succession

In the two-year period prior to succession, one title was changed for a member of the executive constellation and a new position created. The Vice President, Administrative Services was retitled Vice President, Management Services. A new position, Vice President, Student Development was created and filled by an insider. The unchanged positions were those of the CEO's administrative assistant and a vice president.

The administrative structure of the college two years prior to succession is at Figure 4. Two years prior to the succession there were two vice presidents, four deans and an administrative assistant.

The predecessor's span of control included vice presidents and deans, as well as (some unspecified) administrators below the vice-presidential level. Local influencers, senior administrators and senior faculty reported that the predecessor tended to be the principle

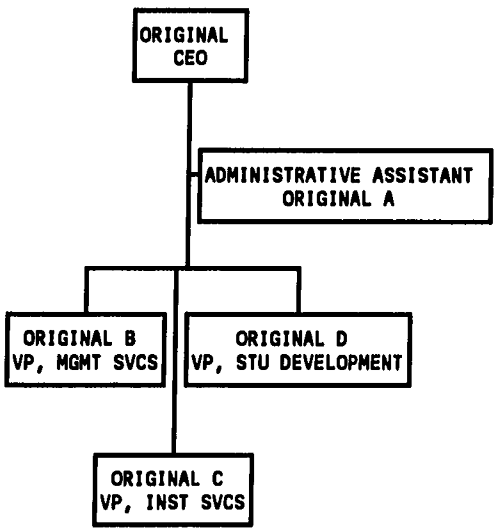

Figure 4: Executive succession (pre-succession year)

decision maker on all college matters with vice presidents and deans serving primarily to implement CEO decisions.

As the result of a reorganization, titles changed from "dean" to "director," a vice president of student services position was created and a student services position abolished. Senior administrators interviewed considered the title changes to be marketing decisions. Salary and responsibilities were unchanged for deans. An institutional administrator said the student services position increased in institutional power and responsibility enough to justify a vice president title.

Succession year and year plus one

Institutional catalogs, CEO cabinet and governing board minutes report one change in the structure of the executive role constellation in the first full year following succession. A new position, executive director for economic development, was created in response to growing demands from state government. The position was filled by an insider (Figure 5). The successor CEO did not want to make other changes in membership or in the shape of the executive role constellation. He said that the shape of the organizational hierarchy was satisfactory, suggesting that problems which might be caused by reorganization would be greater than the benefits gained from a reorganization. The incumbents were

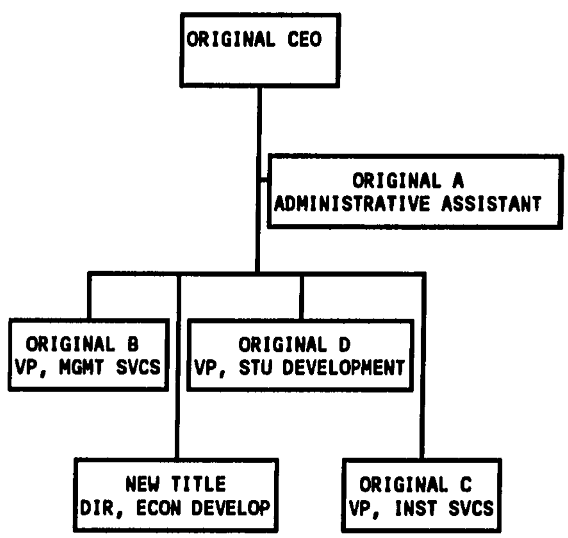

Figure 5: Executive succession (succession year)

well qualified persons whom he felt would perform very well. The successor CEO felt that the team inherited from the predecessor was good and changes for quality improvement were not necessary. He said that he "didn't need to make changes because it all fit. They [the members of the executive role constellation] felt ownership" and there was "no need for change." He further shared that he had not been disappointed.

In the first full year following succession one vice president retired and was replaced by an insider. A local influencer stated clearly that the retiring vice president had not left because of unhappiness. The position title was changed and duties expanded to include those previously held by the newly appointed vice president. The position previously held by the new vice president was abolished (Figure 6). The position consolidations were intended to reduce an institutional fiscal deficit.

Following the retirement of the administrative assistant to the president, the position was retitled "executive secretary" and an outsider appointed to the position. The executive secretary search was opened within and outside the institution. The CEO said that the person hired was a highly qualified experienced executive secretary. An outsider was also employed to activate the dormant institutional foundation. The CEO shared that the institution searched outside the college to find a director with experience in

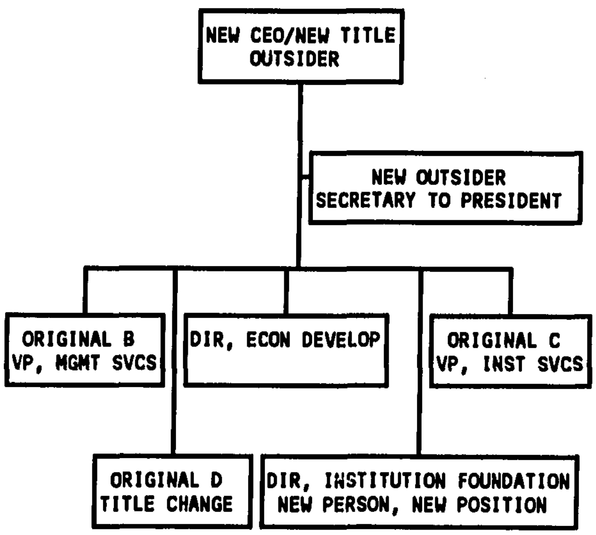

Figure 6: Executive succession (post-succession year + 1)

institutional foundations. In each case, an outsider was hired because he/she was the best qualified applicant.

The successor CEO is an outsider. He came from another state. The successor is also a cosmopolitan, committed to specialized role skills rather than a particular peer group. The CEO revealed that he considered a mix of inside and outside hires a desirable goal but that selection of a new member of the executive role constellation would not be predicated on a single factor such as the insider/outsider nature of an applicant. The successor CEO said that selection would be based on applicant technical and professional qualifications rather than whether he or she was an insider or outsider.

The management style of the new CEO was reflected in the process for selecting members of the executive role constellation. The process was one in which the institutional vice presidents, as a committee of the whole, reviewed applications and made recommendations to the CEO. The CEO indicated that such recommendations were normally accepted. Under the predecessor CEO, key administrators indicated that these decisions would have been made only by the CEO.

One opinion leader, a senior administrator, said that there was "more power in the hands of the vice presidents now." The successor CEO said that he gave "mission-type orders" and had a "different management style." (He did not specify how he was different other than his use of "mission-type orders".) An opinion leading faculty member said that the successor CEO is "results oriented" while the predecessor CEO was "detail oriented." Another faculty member said that there were "new authorizing levels in the paperwork flow." This same opinion leading faculty member said that the successor CEO "lets top people do more" and "holds them accountable. [The predecessor CEO] didn't give that latitude."

The successor in this case has a different administrative style and a different task. He must market the institution and improve institutional service to the district. He delegates authority and responsibility and encourages participation from all members of the institutional community.

Two years post-succession

(See Figure 7.) In the second full year following the CEO succession one change in the executive role constellation occurred. A vice president retired and an outsider was employed as a replacement. The CEO shared that the successful applicant had the necessary experience and educational background to be immediately effective in his new role.

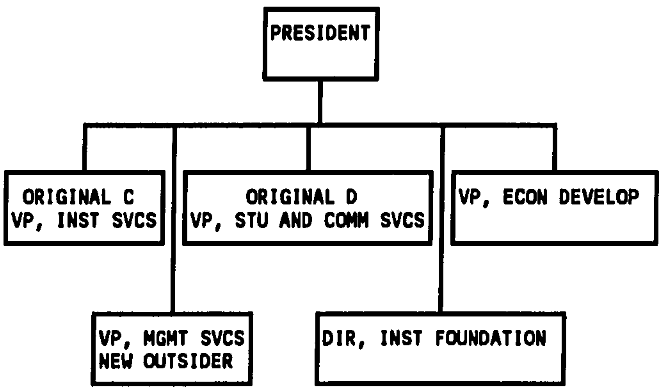

Figure 7: Executive succession (post-succession year + 2)

Summary of Upper Level Changes

The successor CEO, given the study definition of executive role constellation, indicated that his executive role constellation positions included all vice presidents and two directors, public information and institutional foundation.

Within that definition of the executive role constellation the successor created one new position (Vice President, Economic Development). The position was filled by an insider. This change partially responded to legislative actions. The state legislature assigned the state community colleges' administrative responsibilities for economic development. The community college CEO had latitude to determine how the economic development program was administered.

Additionally, in the post-succession period, one position was vacated by resignation; that position was retitled and an insider employed to fill the position. The administrative assistant position was retitled "Executive Secretary" and filled by an outsider. It is not clear whether this retitled position indicated a change in status vis a vis the executive role constellation. One senior administrator indicated that the change was only intended to accurately identify the position.

One faculty member said the successor recognized that "some administrators come in and clean house," but that was "not his style." However, a senior administrator observed that "some people had to adapt to the idea of delegated authority and being held responsible for their actions." He said that the new responsibility and authority was "stressful for (unspecified) many." A local opinion leader said that the "change [in CEOs] induced vigor."

The successor CEO is an outsider. He came from outside the state. He is also a cosmopolitan. He is loyal to the institution and the governing board, but his professional background also suggests a high commitment to the specialized role skills of a comprehensive community college CEO.

The Rebecca Myth is reflected in this case. Interviewees and documentary data indicate that respect for the predecessor CEO did not change after the succession.

The conventional wisdom and the OWC (One Way Causality) Model of CEO effect is operative in this case. The governing board did not expect a problem to be fixed. They wanted an increased marketing effort for the institution. The NWC (No Way Causality) Model is not supported. There are changes in the organization which can be attributed to the successor CEO. The NE (Negative Effect) Model is affirmed. Interviews report brief periods of administrator uncertainty as the successor CEO transferred decision-making responsibilities.

No indication of organizational saga appeared. Institutional history does not reveal any event(s) which have special emotional meaning for the members of the institution.

Table 2 summarizes changes in structure and executive role constellation members over the period of the case study.

Theoretical Categories Reaffirmed

Both preliminary theoretical categories identified in Chapter I and supported in Case A were also supported in this case. In the two-year period following CEO succession the institution:

a. changed organizational shape and job responsibilities. The new CEO redefined position responsibilities. He also assigned new titles and created one new position.

b. experienced a change in the executive role constellation as the result of a retirement.

The following theoretical categories reported as emerging in Case A were supported by the data in this case.

a. Successor CEOs may tend to elevate previously existing but inactive positions (Economic Development Officer) into the executive role constellation following succession. However, a possible reason, CEO personality, offered in Case A is not supported. Instead, state legislative action may have caused the change in position power and locus. In this case, state legislative action assigned administrative responsibilities for the economic development programs to the community colleges. Community college CEOs have broad [unspecified] latitude to implement the legislative guidance. This institution and Case A institution are in the same state.

b. Governing boards may tend to search for and select vigorous communicators for the college. The governing board wanted persons who could effectively communicate with different, interested constituencies of the college internal and external environment. Governing boards want successor CEOs who can effectively market the institution. The Case A observation that the governing board wants a CEO who "personifies the institution" was not supported.

c. Governing boards may seize the opportunity presented by a CEO retirement to redirect the institution, redesign the shape of the institution or accomplish a combination of the above.

d. Governing boards may benefit from an outside consultant assisting in the search process and in defining what the college needs or wants in a successor. The consultant may assist the governing board in articulating the position description, institutional needs and governing board expectations to best describe, interview, and select a successor CEO.

e. Governing boards may intuitively or consciously accept that a "visible" and "aggressive" administrative style is necessary for institutional change. Visible, aggressive administrative styles may be interpreted by governing boards as the traits necessary to effectively market the institution.

f. Governing boards tend to select a successor CEO with a personality and management style different from the predecessor's.

Emerging Theoretical Categories

Emerging theoretical categories for this case study were also identified.

a. A successor CEO having held a previous CEO position in a community college may tend to cause fewer strategic replacements than a new CEO without previous experience as a community college CEO.

b. A successor CEO having previous experience as a community college CEO may tend to delegate more authority and responsibility to members of the executive role constellation.

c. Founding CEOs may tend to have a directive management style. Successor CEOs may tend to have a participatory or delegative management style.

d. Governing boards tend to select administrators with planning skills and a delegative participatory management style for CEO positions.

e. Community college governing boards seeking changes in institutional goals and direction will seek an outside successor.

f. Community college governing boards seeking new environmental information will seek an outside successor. Governing boards wishing to benefit from different management perspectives, experiences and backgrounds will seek an outside CEO.

g. A successor CEO using a participative administrative style may tend to fewer strategic replacements than will other administrative styles.

Case Summary

The data in this case support categories developed in Case A. Theoretical categories developed in Case A are supported with minor changes noted.

Emerging theoretical categories may suggest that there are differences in management styles of CEOs with previous CEO experience and founding CEOs. Further, there may be a different management style needed for CEOs succeeding a founding CEO.

Governing boards may also expect successor CEOs to have a different management style from his/her predecessor.

Emerging theoretical categories and those reaffirmed in this case might suggest yet another emerging theoretical category: a governing board will seek a successor CEO who is opposite the predecessor in personality, management style, background and experience, and who had previous experience as a CEO.

Table 2: Summary of pre/post-succession changes

Position	Pre-Succession Year	Succession Year	Succession Year + 1	Succession Year + 2
CEO	*	New CEO	No Change	No Change
VP, Admin Services	Changed Title	No Change	No Change	New Person, Outsider
VP, Inst Services	*	No Change	No Change	No Change
VP, Stu Services	New Position, Insider	Title Changed, Outsider	No Change	No Change
VP, Econ Develop	Not Extant	New Position, Insider	No Change	No Change
Director of Personnel	Not Extant	Not Extant	New Person, Insider	No Change
Director of Institution Foundation	Not Extant	Not Extant	New Position, Outsider	No Change

* Original incumbent

CASE C

Data Sources

Data sources for this case included publicly available documents and semi-structured interviews. Documentary sources included regional and local newspaper articles archived on microfiche by the institution, institutional catalogs for the period 1986 to 1990, minutes of governing board meetings and CEO cabinet meetings and institutional planning documents and consultant reports.

The researcher conducted semi-structured interviews with nine persons, including the successor CEO. Two of the interview subjects were members of the faculty, four were senior members of the institutional administration and three were community opinion leaders of the institutional district. Data relative to the research questions are reported in this case.

The methodology used to identify interviewees could generate about 100 persons as influencers. The interviewees selected, with the exception of the successor CEO, were named most frequently by community and institutional opinion leaders. Names of local and institutional opinion leaders were frequently repeated by others. Frequently repeated names and the order in which they were given suggested a small group of persons who were viewed as most influential. These persons were contacted and asked to participate in the study. Among the local influencers interviewed in this case were members of the governing board and institutional administrators.

Introduction and Historical Perspective

This case reports post-succession strategic replacement and institutional restructuring at a single-campus, publicly funded community college in the midwest. The district is described in the college catalog as agrarian-industrial. The school is surrounded on three sides by farmland. The nearest town has a large iron and steel foundry. A document provided by a local opinion leader described the area as "a mixture of agricultural, health care, light and heavy industry."

The institution was created by state law in 1965. The institution now has over 4,000 full and part-time students (an FTE of 4,000) and an annual budget of over 5 million dollars. The institution district includes an area of over 2,400 square miles and has a population of over 110,000.

An institutional history found in the catalog reports that there have been four presidents and one interim president since the founding of the school. The first served from 1965 to 1972, the second from 1972 to 1980. The third CEO served from 1980 to 1986. There was an interim CEO for five months prior to the present CEO's arrival. Each of the previous presidents was an outsider and served an average tenure of approximately seven years. The shortest tenure was six years, the longest eight. Two of the four CEOs were hired from out of state and two (including the present CEO) were hired from within the state. Two of the former CEOs had previous presidencies and two had served in vice presidential positions prior to becoming CEO of the study case.

The predecessor to the current CEO resigned to accept another CEO position in the midwest. An outsider provided by the Association of Community College Trustees (ACCT) performed duties as interim CEO during the period of the search that led to the selection and appointment of the current CEO. The board of trustees wanted a consultant with experience assisting in community college CEO selection. One local opinion leader said that the ACCT had a good reputation when assisting community colleges with CEO searches. The governing board wanted outside assistance in designing the position description and developing specifications. An opinion leader said that the consultant "helped the board get its thoughts together." The successor CEO suggested that a neutral outsider as interim CEO was "better" when there was an internal candidate.

The institution experienced a period of declining enrollments and revenues in the early 1980s. However, governing board meeting minutes and local newspaper articles did not indicate that this decline had an adverse effect on the credibility of the predecessor CEO. Local opinion leaders said that the institution needed "increased visibility" and an improved "public image." One local opinion leader said that the successor CEO was an "aggressive" marketer for the school.

The board has a history of hiring outsiders with top level (Vice President of Instruction or CEO) experience. Local opinion leaders indicated that the governing board wanted the institution to continue to benefit from what the predecessor CEO had done while improving institutional marketing.

Predecessor CEO Relations with the Governing Board

Governing board relations with the predecessor CEO were cordial and professional. All interview subjects indicated that the predecessor CEO fit the needs of the institution when he assumed the presidency and was performing well as president. According to a local opinion leader, the board of trustees asked the predecessor CEO to "clean up the administrative mess left by [his predecessor] and get a tax increase passed." One senior administrator said that "overall we have been happy with [the successor CEO] but we were not dissatisfied with his predecessor." An opinion-leading faculty member said that the best successor CEO for the institution would be a "maintainer." He said that the predecessor CEO had made changes in organization and procedures and it was time to slow the changes. He also said that he thought that the successor CEO was a "maintainer." According to senior administrators and local community opinion leaders, the predecessor CEO had created an effective administrative structure that the institution previously had not had. A local opinion leader stated that the predecessor had "smoothed things over" after a previous CEO had "made a mess." The opinion leader described the "mess" as an absence of administrative procedures and policies that had resulted in institutional embarrassment. The predecessor CEO established policies and procedures necessary to preclude similar problems. The predecessor CEO resigned to accept another community college CEO position.

The successor CEO, local opinion leaders and key administrators reported that the board of trustees wanted the successor CEO be more "visible" and "active" in the community. The predecessor CEO was described by the same interview subjects as meticulous and thorough, but not highly visible in the district. The researcher interpreted these comments to mean that local opinion leaders and key administrators wanted a successor CEO who would market the institution in the district and communicate the institutional role and programs to more people. There was no indication of reduced presidential credibility or adverse pressure on the predecessor CEO to vacate the position. Administrators and community leaders were unanimous in their agreement that the predecessor CEO was not forced out.

The predecessor CEO fulfilled board expectation and institutional needs. The predecessor CEO was instrumental in having a tax increase referendum passed. He implemented administrative procedures needed by the institution. The predecessor CEO met board expectations established when he was hired.

Governing Board

The seven-member, locally elected governing board members are elected for six-year staggered terms. Newspaper archives, interviews with local opinion leaders, senior administrators and a review of governing board meeting minutes indicated that no trustee had been defeated for reelection during the period of the study. Local opinion leaders and senior college administrators reported that it was frequently necessary to actively seek out and encourage qualified persons to become candidates for governing board positions.

A subjective evaluation of newspaper articles, local influencers and senior administrator comments to the researcher indicate that the governing board is publicly supportive of the institution and institutional CEOs, past and present. That is, interviewees and newspaper articles did not report any evidence of disharmony between the governing board and the CEO. One local influencer said that potentially controversial topics were usually discussed in private.

Selection Process

The process for selection of a successor CEO included securing the assistance of a consultant team of two persons from the Association of Community College Trustees (ACCT). No serving member of the board of trustees had previously been involved in a presidential search. Therefore, the board elected to retain two consultants from ACCT to assist in clarifying what skills and characteristics they, as a governing board, were seeking. They also assisted in developing criteria checklists and preparing position announcements for release to national and regional print media. Additionally, the ACCT provided an outsider to serve as interim CEO during the search. The interim CEO was a retired community college CEO from another region of the United States.

According to two local opinion leaders, the consultants assisted the board of trustees in developing a position description. The consultants asked probing questions of members of the governing board concerning the needs of the institution. Community and institutional opinion leaders claiming knowledge of how the position description was developed said the board of trustees was "looking for someone to be more visible in the community", a "strategic planner", and an "aggressive leader." Additionally, an institutional committee of almost 20 persons (interviewees were not sure exactly how many had been on the committee) was appointed by the governing board to assist in developing a profile of the successor CEO that was used when advertising the position. The committee was composed of persons from the institution and from district communities, including students, administrators, classified employees, members of the board of trustees and community leaders. The consultants prepared advertisement copy used in the national search and guided the board of trustees over the course of the selection process.

The consultants screened the applications, using as criteria the profile described above and their experience. The consultants selected and ranked 18 or 19 applicants from a total applicant pool of 99. The selection committee reviewed the consultants' recommendations and recommended four finalists to the governing board for consideration. The finalists met the profile established by the governing board. The profile included an earned doctorate, comprehensive community college experience, administrative skills, participative decision-making administrative style, experience working with district industry and constituents, and effective marketing skills.

Interviewees indicated that there were internal candidates. However, the researcher's impression is that the internal candidates were not seriously considered by the board. It appears that this institution consciously sought outside candidates. However, interviewees did not commit themselves to an "outside successor only" position. The board selected four finalists for interview but only three were interviewed. One finalist had accepted another position in the interim. Two finalists, both outsiders, were selected to receive site visits at their employing college. The visiting team was composed of two members of the board of trustees, one faculty member and a senior administrator. The successor CEO said he felt the final selection was based on the "fit" between his skills as a strategic planner and marketer, background in community colleges and administrative style and the needs of the institution for strategic planning, improved marketing and different administrative style.

Changes in Administrative Organizational Structure and Executive Role Constellation Members

Pre-succession

In the two years prior to the succession, there were no changes in the executive role constellation incumbents or in the shape of the administrative hierarchial structure. Institutional planning documents and consultant reports detailed a major restructuring of the institution five years prior to the successor CEO's appointment. The reorganizational objectives were to:

a. realign administrative responsibilities and duties;

b. provide the structure to promote and support delegation of authority and responsibility;

c. retain a flat, single-layered administrative structure;

d. create balanced, workable units of instructional facility which maximized administrative and instructional effectiveness.

The successor CEO believed the organizational structure adopted prior to his arrival was satisfactory; therefore, he had made no changes.

Post-succession

The institution has a very stable administrative structure. There was little change in administrative structure over the period of the study. In fact, there has been little change in administrative structure during the period 1981 to the present. In the two-year period post-succession one director was retitled "dean." Another dean resigned to accept a community college vice presidency. The departing dean was replaced by a woman outsider. The departing dean had been a candidate for the CEO position but had not been selected for interview. A director died in office and was replaced by an outsider (Figures 8 and 9).

Summary of Upper Level Changes

The successor CEO indicated that the definition of the executive role constellation used in this study would include the three deans and three directors of the college, a total of six persons. However, the CEO indicated that the three deans and he constituted the president's council and were involved in management decision making. The three directors were usually not included in developing management decisions.

Two post-succession changes occurred in the executive role constellation. One director died and was replaced by an outsider. The second change, a dean who departed to accept a senior administrative position at another college, was replaced by an outsider. Table 3 summarizes the changes related to succession.

Theoretical Categories Reaffirmed

Preliminary theoretical categories reported identified in Chapter I and supported in Case A and Case B were supported in this case. In the two-year period following CEO succession the institution:

a. changed shape of the administrative organization. The new CEO changed the title of one position in the executive role constellation. The changed title did

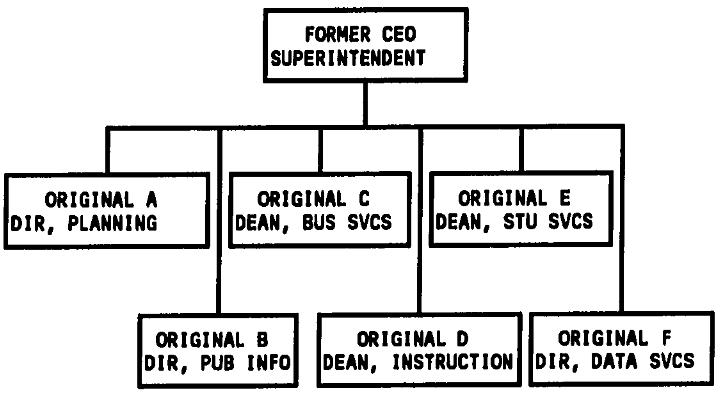

Figure 8: Executive succession (pre-succession year)

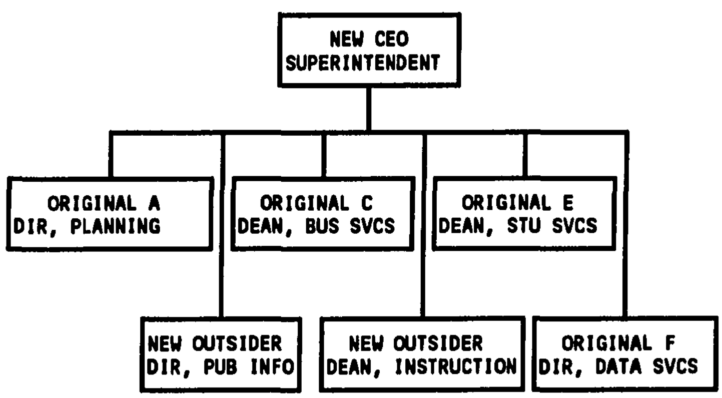

Figure 9: Executive succession

(succession year and year + 1)

not include changes in job responsibilities. The organizational structure of the institution had not changed since 1981 except for the change noted above.

b. experienced changes in the executive role constellation as the result of a death and a resignation.

In each case, an outsider was hired as replacement following a national search. According to senior administrators and the CEO, the departure of the dean was to accept a vice-presidential position at another community college and was "routine."

However, this departing senior administrator had been an applicant for the institutional presidency. The successor CEO shared that he was aware of the difficulty he felt the unsuccessful inside applicant might have in remaining at the college after his arrival. The successor CEO suggested that it was common for an unsuccessful applicant to seek a position at another institution. While departure of this senior administrator may be subjectively attributed to the succession, this person had been considering other positions prior to the succession.

The following theoretical categories reported as emerging in Case A and Case B were supported.

a. Governing boards tend to seek and select persons who are "visible" and "aggressive marketers" of the institution, persons who can effectively communicate with different, interested constituencies of the college internal and external environments.

b. Governing boards may benefit from outside consultants assisting in the search process. Consultants can assist in defining successor profile, screening applications and providing the governing board other information which may be pertinent to the CEO search and selection process.

c. Governing boards tend to select a successor CEO with a personality and management style from the predecessor's.

Emerging Theoretical Categories

This institution has a stable organizational structure. The data were consistent in reporting no change (other than a minor title change) in organizational structure since 1981. Changes in executive role constellation members had occurred rarely, only twice in the period of the study. No new theoretical categories emerged from this case.

Case Summary

The case supports emerging theoretical categories which indicated increased governing board awareness of the need to market the institution. This case also tends to support an earlier observation that CEOs recognized the benefits of a balance between inside and outside hires into the executive role constellation. Each of the new executive role constellation members was employed following a national search.

This case supports the observation in Case B that persons appointed to CEO positions with previous CEO experience impose fewer strategic replacements than do first-time CEOs. However, the data suggest that the Case C board and faculty were seeking a maintainer of the internal status quo rather than a change agent. This did not appear to conflict with their predilection toward outsiders. Data suggest that a good "fit" between the needs of the institution and the characteristics of the successor CEO may mean fewer strategic replacements in the executive role constellation.

This case did not support the Rebecca Myth. The predecessor CEO was well regarded before and after the succession. The data are consistent in reporting the predecessor as different from the successor. This researcher did not sense any criticism in the comments concerning difference between the predecessor and successor CEOs.

The successor is an outsider. However, he was serving in the same state as a senior academic administrator. The successor CEO is a cosmopolitan. He is committed to the specialized role skills of the community college CEO. Interviewees and documentary search did not reveal indications of an institutional saga.

Table 3: Summary of pre/post-succession changes

Position	Pre-Succession	Succession Year	Post-Succession Year
President	Interim CEO	New CEO	No Change
Dean of Instruction	*	No Change	New Person, Outsider
Dean of Business Services	*	No Change	No Change
Dean of Student Services	*	No Change	No Change
Director of Public Information	*	Changed Title	New Person, Outsider
Director of Planning	**	No Change	No Change
Director of Student Records and Placement	**	No Change	No Change

* Incumbent employed prior to major reorganization
** Employed after major reorganization but prior to succession

CASE D

Data Sources

Data sources for this case included publicly available documents and semi-structured interviews. Documentary sources included institutional catalogs for the period 1984-86 to 1988-90, minutes of meetings of the board of trustees, the president's cabinet and executive sessions of the board of trustees and the CEO's personal letter files.

Eleven persons were interviewed, including the successor CEO. Four of the remaining ten were influential members of the faculty, two were influential members of the local community and four were members of the institutional administration. Only the data relevant to the original theoretical categories and categories emerging in previous cases are described in this case study.

The methodology used to identify interviewees could have generated about 100 names of local opinion leaders. Interviewees selected, with the exception of the CEO, were named most frequently by community and institutional opinion leaders. Names of community and institutional opinion leaders provided by the successor CEO were frequently repeated. These frequently repeated names and the order in which they were given suggested a small number of interview respondents. Twelve persons were contacted in writing and then by telephone. One declined the interview. Among the local influencers in this case were members of the governing board and institutional administrators.

Introduction and Historical Perspective

This case study reports the events related to post-succession strategic replacement and institutional restructuring at a two-campus, publicly funded community college in the midwest.

Founded in 1946 as an extension of a state four-year institution, the institution was absorbed and operated by a local school district from 1948 to 1962. In 1962, the institution became a single-campus community college district. The institution became a two-campus college when it opened a second campus in 1967.

The institution is now a community college with an FTE of over 4,500 and an annual operating budget in excess of 20 million dollars. The institutional district is an area of over 2,200 square miles and has a population of over 375,000 persons.

Following establishment of the two-campus institution the organization included a chancellor as CEO and two campus executive officers titled "president." The institution has had four CEOs since 1962. The first served from 1962 to 1966. The second served from 1966 to 1977, the third from 1977 to 1987. The fourth and present CEO has served since 1987.

Interviews with institutional senior administrators, community opinion leaders and faculty and a review of board of trustees meeting minutes suggested that there was erosion of confidence in the predecessor CEO prior to his retirement. The governing board wanted organizational changes to reduce the institutional bureaucracy. The predecessor did not respond to governing board requests for change. One local opinion leader said that the predecessor CEO was "burned out" and the governing board saw the need for institutional reorganization. One opinion leader said that the institution was "over-administered." He said that the bureaucracy [a part of his "over-administered" concept] caused a budget problem and impeded institutional change. The predecessor requested an early retirement which was approved by the board of trustees. The governing board was, according to faculty and local influencers, becoming "impatient" with the predecessor CEO. However, all interview subjects stressed that the predecessor CEO was not forced out, per se.

Interviews with faculty, community opinion leaders and key administrators indicated that the predecessor CEO was a "maintainer of the status quo." This term was repeated or paraphrased by several interview subjects. Additionally, the predecessor CEO was described as fatherly, non-threatening, uncreative and detached from institutional life. Conversely, he was also described as friendly and outgoing. The researcher interpreted these comments to mean that the predecessor CEO was not interested in changing the institution.

A local opinion leader reported that the institution had "stagnated" because of "laissez-faire leadership." This interview subject and a faculty influencer said that several (unspecified) persons had acquired power in the institution that was not theirs to have or exercise. The predecessor CEO appears to the researcher to have abdicated many of his leadership and administrative responsibilities to others. These persons lost their power after the succession.

When the Rebecca Myth concept was explained to interview subjects, all but one confirmed it. Interviewees said that the leadership deficit of the previous administration had become clearer after the successor arrived.

The institution was regarded by faculty, local opinion leaders and some administrators as stagnating prior to the most recent succession. Stagnation was described by both local opinion leaders as an "absence of global awareness" and "inbreeding of home-grown administrators," a "status quo" school that was not "innovative." A senior administrator described the predecessor CEO's management style as "reactive" and "withdrawn." Local opinion leaders reported major business and industry changes in the institutional district. The changes created new educational needs in the district, to which the school had not responded. Large equipment manufacturing companies had retrenched, laying off workers. Opinion leaders felt that the school should have developed programs to help newly unemployed persons prepare for other jobs.

One opinion leading faculty member said, "The community had to transform itself from agriculture to something else and [the institution] didn't play the role it could have and should have." A declining agricultural industry had affected other industries within the college district and the region. Demand for agricultural and other heavy equipment had declined, reducing employment and increasing demands for retraining newly unemployed workers. Some interview subjects felt the institution might have helped ameliorate some of the negative effects of the decline.

Several interview subjects indicated the institution had become a source of stable jobs for a large number of long-time college employees rather than a community college responsive to district educational needs. Faculty, staff and administrators reported that most of the instructional staff at the institution had been employed there 15-20 years. An opinion leading member of the faculty and a key administrator indicated that for many years faculty had little interest in the external environment of the institution.

All interview subjects indicated that the school needed new leadership. They acknowledged that the college needed a reorganization, a "shake up." These interview subjects reported that the new CEO was to be a "risk taker," visible in the community and a "change agent." The gist of comments such as the above indicate that the governing board, faculty and administrators were initially seeking a person to improve institutional response to district needs, reduce the size and inertia of the institutional bureaucracy and flatten the organizational structure. They also wanted a successor CEO who planned change and program development rather than reacted to change without planning. Finally, all interviewees wanted the new CEO to seek and use suggestions and input from instructors, staff and administrators. There do not appear to be any heroic events that hold special meaning for the participants. The institution has a history but lacks a sense of unique accomplishments which could be called a saga.

Predecessor CEO's Relations with the Governing Board

The predecessor CEO's career had been spent at this institution since entering post-secondary education, 18 years previously. He had first been a vice-president and had then served as CEO since 1977. The predecessor CEO was the third for the institution since its founding.

CEO relationship with the governing board prior to the succession was declining. Interview subjects reported that confidence in institutional leadership had been eroding for at least three years. The institution was perceived by local opinion leaders, influential faculty and senior administrators as ineffective in meeting rapidly changing regional and district educational and program needs. One local opinion leader said that governing board efforts to effect change were met with bureaucratic delay or simply ignored by the predecessor CEO. One key administrator and a long time faculty member said that problems were "studied to death" by the administration.

The governing board saw the institution as stagnant. Interview subjects were unanimous when describing desirable characteristics for the successor CEO. The successor CEO must be a "leader," "planner," "someone to bring change," and "visible." This institution was perceived internally by faculty and administrators and externally by local influencers as needing change in a number of important areas. The researcher interpreted these comments to mean that the interviewees understood, consciously or intuitively, that the successor CEO would have to force changes in the curriculum, the organizational hierarchy and in how the institution responded to district educational needs. The interviewees recognized that the successor CEO would have to be a more directive administrator than his predecessor.

Governing Board

The seven-member governing board is locally elected, members serving for staggered six-year terms. Interview subjects, review of board meeting minutes and president's council minutes suggest that the governing board directed the successor CEO to change program offerings, reduce the number of layers in the organizational hierarchy and have the institution become more responsive to district educational needs. There was a general reduction in faculty and administrator morale following early changes the successor made, such as flattening the organizational structure. Local opinion leaders and faculty reported that governing board and faculty support for the successor CEO has gradually recovered in the months prior to the study.

All interview subjects and board minutes show that there have been major changes in board composition in the last four years. One locally influential person said there had been 15 different members on the seven-member board of trustees in the last four years. In the most recent election, four board members changed. The changes resulted from one resignation, one incumbent who was defeated and two incumbents who did not seek reelection. Nine persons ran for four available seats on the governing board.

The recent election also changed the representation of the governing board. Prior to this election, the representation had closely reflected the demographics of the district with a small rural/agricultural population and a larger urban/industrial population. Following the most recent election the board majority was from the smaller rural agricultural population of the district and less from the urban/industrial areas of the district. How and if this change in board membership affected the successor's mandate for change was not clear.

Selection Process

When beginning the search for the current CEO, the board of trustees decided to eschew the services of outside search consultants and conducted the entire search without assistance. The researcher sensed that the governing board wanted to minimize community interest and participation in the selection process. The governing board appointed a two-person subcommittee to develop a basic position description, set priorities relative to desired CEO characteristics and establish other board requirements concerning the search. The search committee then reviewed and refined the position description. The search process was not open to the public.

The board of trustees appointed a 12-member search committee to assist them in the selection process. The selection committee was composed of representatives from all campus constituencies, including top level administration, faculty, students and persons who worked in the extension centers. The selection committee represented the faculty, staff, students and board of trustees. The selection committee represented both campuses and different instructional programs. Administration representation included persons from each level of the administrative hierarchy. Past and current student members of the governing board represented student interest in the selection process. Governing board representatives completed the selection committee.

The search committee drafted a position description and submitted the description to the board for approval. The draft was accepted without significant change. One influential community opinion leader said that the committee developed a profile of what the successor CEO should be. The profile included characteristics such as "leader," "change agent," and "participative administrative style," "flexible," and "visionary." The profile suggested that the search committee wanted a successor CEO who was willing to implement governing board directives and, when necessary, force changes in organizational, administrative, program and curricular matters. The profile also suggested that the CEO was to improve institutional responsiveness to district educational and program needs.

The board of trustees conducted a national search that yielded 28 applicants. The committee evaluated written credentials of applicants based on the profile and instructions from the governing board. This committee selected 15-18 persons for further consideration. The committee checked references and evaluated on the same criteria. The selection committee recommended three persons to the board for interview. The selection committee interviewed finalists in closed session. The search committee then made a recommendation to the board of trustees. The committee had unanimously recommended the person ultimately selected as successor. The governing board contacted references, requesting additional and clarifying information on the three finalists. The board unanimously approved offering the position to the current CEO. The governing board voted to decide to whom the position was offered.

Changes in Administrative Organizational Structure and Executive Role Constellation Incumbents

Pre-succession

Interview subjects and a review of governing board meeting minutes for the two years prior to the succession indicated one change in the executive role constellation. One of the two campus executive officers was replaced following his resignation to accept an administrative position at another institution.

The administrative structure of the institution immediately prior to the succession is shown in Figure 10. The predecessor CEO's span of control included the chief financial officer, two campus executive offices and four deans. Influential faculty members and senior administrators reported that the predecessor CEO had abdicated his decision-

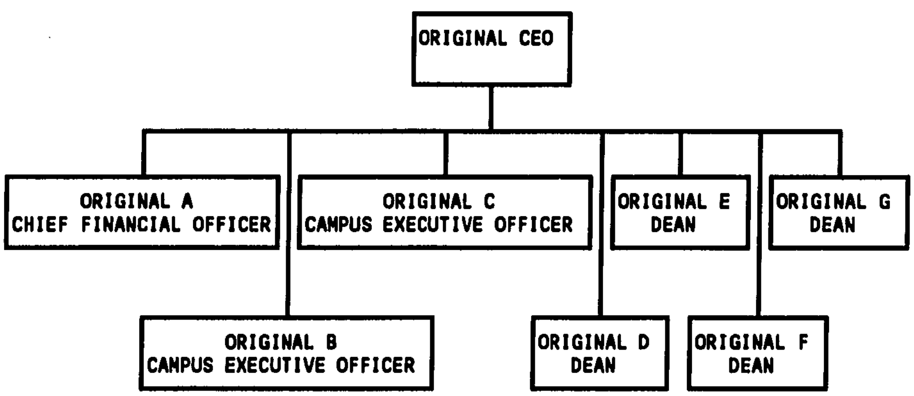

Figure 10: Executive succession (pre-suocession year)

making authority and responsibilities. They said that several [unspecified] members of the faculty and staff had assumed the decision-making roles without authority from the governing board or the predecessor CEO.

Succession year

There was one change in the executive role constellation in the year immediately following succession (Figure 11). A new director position, Director of Research, was created and an insider hired. Late and inaccurate reports had previously embarrassed the institution. The new Director of Research position corrected that deficit. While there was only one change, a review of the CEO's personal letter files reflected a major re-organizational planning effort in progress. The reorganization plan reduced the number of hierarchial layers to four or fewer, from the CEO to the lowest level employee. The reorganization intended to improve communications, institutional responsiveness, and reduce administrative overhead cost. The planning effort sought input and support from all institutional constituencies before the re-organization plan was implemented.

Post-succession plus 1 year

The first full year following succession was one of major change. The successor CEO implemented the governing board's instructions to reduce bureaucracy, improve

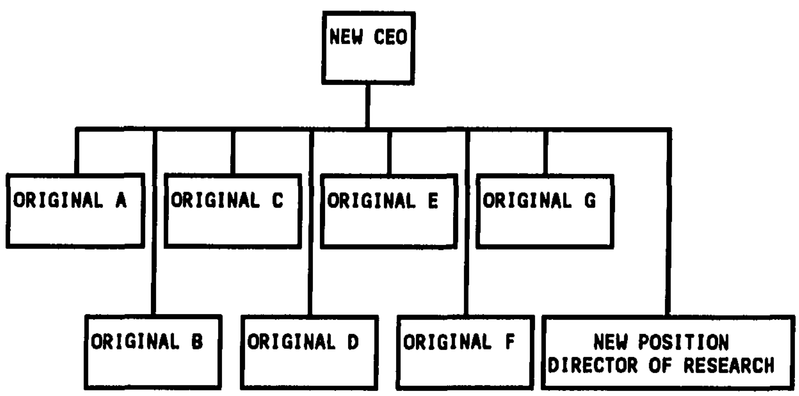

Figure 11: Executive succession (succession year)

communications and better serve the district. He also made nine personnel changes in the organization to improve communication and responsiveness of the institution and eliminate administrative positions to reduce administrative costs.

Specifically, the successor CEO retitled the Chief Fiscal Officer (CFO) as Treasurer and appointed a new insider. The previous CFO had been terminated. The successor CEO eliminated one of two campus executive officer positions and absorbed the duties of the eliminated position. One dean returned to teaching duties following removal from administrative duties. The successor CEO left the position empty. The successor eliminated a dean position when the incumbent retired. He created a new dean position and filled it with an outsider.

The successor CEO created a new director position, information services, but the position had not been filled when the study ended. The CEO created two new vice presidential positions. An insider, a former campus executive officer, filled the executive vice president position. An insider also filled the new vice president for instruction position (Figure 12).

There were nine organizational changes in the year following succession. Two positions were eliminated, four new positions created, one position vacated and not filled, a

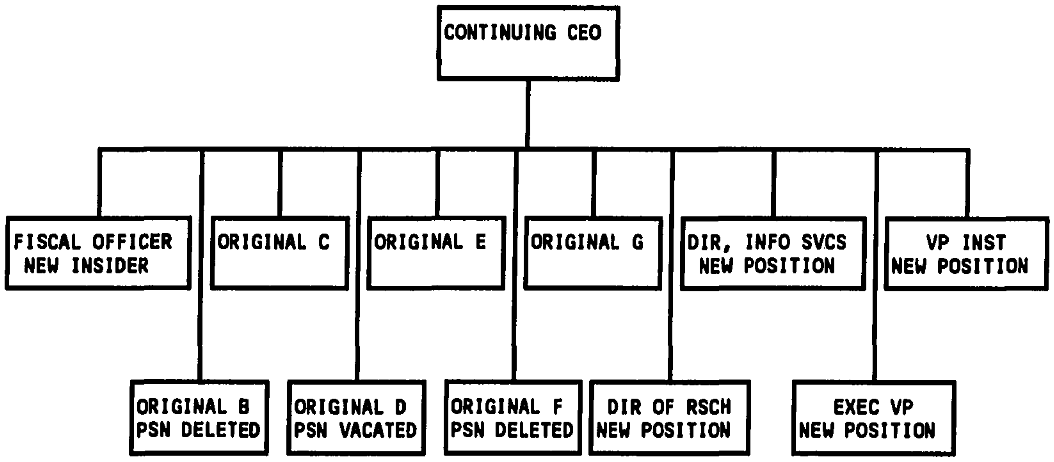

Figure 12: Executive succession (succession year + 1)

person replaced and the successor CEO assumed expanded responsibilities.

Summary of Upper Level Changes

The successor CEO shared the reasons for inducing changes on the organization. He said that he had a mandate from the governing board to reorganize the institution. The successor CEO said that he clearly understood a desire for change from the governing board. He said the governing board wanted more service to the district, better budget management and more "efficient," "flatter," and "less administered" organization. He shared that the governing board considered the college "over-administered," with too many administrative layers and "too much bureaucracy." The bureaucracy and multiple administrative layers impeded internal and external communication and responsiveness to district program needs. Further, he reported gaining a clear sense of the need for change during the selection process. He said that faculty, staff, administration and governing board members discussed with him the need to improve communications internally to the institution and externally to the district, improve institutional response to district educational needs and improve the district administrative structure. The successor also said he was not sure that the faculty, staff, administrators and governing board who said this understood what the changes might imply. He meant by this that he did not think they knew the magnitude of the change they were requesting.

The successor CEO created five new executive level positions, eliminated two, down-graded one and allowed one to remain unfilled when vacated. The consolidation of two dean positions into one reduced the bureaucracy as he had been instructed. The successor CEO added the positions of Director of Research and Director of Information Services, enabling the institution to anticipate the needs of the institutional constituencies. The successor charged the new executive vice president with institutional marketing responsibilities. The new instructional vice president coordinated instructional programs and curriculum change. The successor CEO required that all programs at the college be articulated when possible. The successor CEO changed all but three persons or positions in his executive role constellation (Table 4). All new persons came in the first full year following succession. All but one new executive role constellation position were created in the same period. The successor created one new position in the succession year. That position was filled early in the second year of succession.

One local opinion leader noted that "[the successor CEO] had his instructions and got right to task." A faculty member reported that the successor CEO is able to "make hard decisions." Another opinion leading faculty member said that the school had "lost touch with its mission" and that "[the successor CEO] has swung the pendulum hard the other way." Interview respondents felt that the governing board mandate to improve institutional communication, improve responsiveness to district educational needs and reduce institutional bureaucracy guided successor actions and decisions regarding the institution.

The speed of change imposed by the successor CEO threatened some persons at the institution. The faculty interviewees all reported a high level of "trust" in the successor CEO until he had taken adverse action against a long tenured employee of the institution. The successor CEO and a faculty opinion leader noted that faculty and staff morale had declined since that time and had only recently (how recently was unspecified) begun to rise again. Interview responses to questions concerning morale often addressed a "lack of trust" and a sense of feeling "threatened" because of the pace of change. One key administrator said that the faculty and administrator response to change was, "Yes, we need change but not with my job."

The successor CEO is clearly an outsider. He came from a CEO position geographically remote from his present position. He is also a cosmopolitan. While he is loyal to the institution and the governing board, his professional background also suggests a high commitment to the specialized role skills of a comprehensive community college CEO.

The Rebecca Myth is affirmed in this case. Interviews reported that the management deficits of the predecessor CEO became clear after the successor had arrived.

The conventional wisdom and the One Way Causality (OWC) Model of CEO succession is operative in this case. The governing board expects that the successor CEO will "fix" the institutional problems that have developed over an [unspecified] period. The No Way Causality (NWC) Model is not supported. There appear to be changes in the organization which can be attributed to successor CEO actions and decisions. The Negative Effect (NE) Model of CEO succession is affirmed. Most interview respondents report a reduced feeling of job security since the succession.

Theoretical Categories Identified

The preliminary theoretical categories identified in Chapter I of this study, and supported in Cases A, B and C, were supported in this case. In the two-year period following succession the institution:

a. experienced changes in the organizational administrative shape and position responsibilities. The successor CEO eliminated positions in the executive role constellation, redefined position responsibilities for incumbents and new hires and created new positions in the executive role constellation and retitled positions.

b. experienced changes in executive role constellation positions for different reasons. Changes occurred because of resignations, termination, reassignment and assumption of additional or expanded duties and titles.

The following theoretical categories emerging in Case A were supported by the data in this case.

a. Governing boards may tend to search for and select vigorous communicators for the college. The governing board wants persons who can effectively communicate with different interested constituencies of the college internal and external environments.

b. Governing boards may seize opportunities such as a predecessor CEO retirement to redirect the institution, redesign the shape of the institution or a combination of the above. In this case the governing board also sought to "invigorate" a "stagnant" institution and "move it into the 21st century."

c. Governing boards may intuitively or consciously accept that a "visible" and "aggressive" administrative style is necessary for institutional change.

The following theoretical categories emerging in Case B were supported.

a. Governing boards may tend to select a successor CEO with a personality and management style different from the predecessor's.

b. Governing boards seeking changes in institutional goals and direction will seek an outside successor.

c. Governing boards seeking fresh environmental information will seek an outside successor.

The following theoretical categories emerging in Case A were not supported.

a. Successor CEOs may tend to elevate previously existing but dormant positions into the executive role constellation following succession. In this case the successor CEO did not elevate previously existing dormant positions into the executive role constellation. Rather, he created new positions in response to governing board expectations including the Director of Information Services and the Director of Research.

b. Governing boards may benefit from an outside consultant(s) assisting in the search process and in defining college needs or wants in a successor. In this case there was no consultant involvement. One local opinion leader said that the "board decided to go it alone" in the search. Another opinion leader stated that the search was "closed, not open to the public." The researcher sensed that the governing board and selection committee did not want community interest and input during the selection process.

c. Boards may tend to search for and select successor CEOs who, because of personality and administrative style, epitomize the institution as the governing board wishes or imagines it to be. In this case the governing board was seeking a change agent. No data emerged in the interviews that indicated the governing board was interested in someone to "personify" the institution.

The following categories emerging in Case B were not supported.

a. A successor CEO having held a previous CEO position in a community college may tend to cause fewer strategic replacements than a new CEO without previous experience as a community college CEO. In this case the successor CEO had held two different CEO positions prior to this one. He made nine changes in the executive role constellation: one in the succession year and eight additional changes in the second year of his presidency.

b. A successor CEO having previous experience as a community college CEO may tend to delegate more authority and responsibility to members of the executive role constellation. In this case the CEO reported that he had and was continuing to improve participation in decision making by the executive role constellation but had not been as successful as he wished. Faculty and administrators offered conflicting information on the management style of the successor CEO. Some, such as those who lost power, considered him very directive. Others thought he was trying to use a participatory management style.

Case Summary

This case studies CEO succession at an institution that was described by key faculty, local opinion leaders and opinion leading administrators as "stagnant" and "in need of new blood." The successor CEO was mandated by the board of trustees to change the institution to improve internal and external communications, become more responsive to district educational and program needs and reduce the institutional administrative structure. The college faculty favored the status quo. Many of the faculty had been employed for 10-15 or more years. The predecessor was an "internal" CEO who gave little attention to the environment external to the college.

Community and faculty opinion leaders said that the school had not met the needs of a district that was changing from agricultural to "something else." These interviewees indicated that the college could have helped ameliorate the impact of change in some (unspecified) way(s).

This case is very different from Case C. In Case C the governing board sought a successor CEO to build on the success of his predecessor. In Case D the governing board sought a successor who could reorganize, make the institution more efficient and correct deficiencies which had developed over a period of ten or fifteen years.

The changes in organizational structure and members of the executive role constellation are evidence of the reorganization that the governing board wanted. The impact on faculty morale is less clear. Key faculty members reported an improvement in morale immediately following the successor CEO's arrival. One faculty member said the improved morale was "Hawthorne Effect," implying that any change might have had a temporary effect on morale. After approximately six months and an administrator termination, morale declined. Opinion leading faculty members reported morale has improved in "the last few months."

The governing board wanted institutional change. The successor CEO started changing the institution early in his tenure and quickly. Faculty members acknowledged that change was rapid, that it threatened some faculty and administrators who were "satisfied" and "comfortable" with the predecessor CEO. One local opinion leader said that the next CEO would have to be a maintainer, capitalizing on the successes of the current CEO.

Table 4: Summary of pre/post-succession changes

Position	Pre-Succession	Succession Year	Post-Succession + 1 Year
CEO	*	New CEO, Outsider	No Change
Chief Financial Officer	*	No Change	Change, New Insider
Campus Executive Officer	*	No Change	Position Eliminated
Campus Executive Officer	Changed Prior To Succession	No Change	No Change
Dean	*	No Change	Position Vacated
Dean	*	No Change	No Change
Dean	*	No Change	Position Eliminated
Dean	*	No Change	No Change
Dean	Not Extant	Not Extant	New Position, Outsider
Director of Research	Not Extant	New Position Created	New Person, Insider

Table 4 (continued)

Position	Pre-Succession	Succession Year	Post-Succession + 1 Year
Director of Information Services	Not Extant	Not Extant	New Position Created
Executive VP	Not Extant	Not Extant	New Position, Insider
Vice President, Instruction	Not Extant	Not Extant	New Position, Insider

* Original incumbent

Summary

The cases presented in this Chapter report events and background of four public community college CEO successions.

All cases support preliminary theoretical categories stated in Chapter I. In the two-year period following CEO succession the institutions:

a. changed organizational shape and defined job responsibilities,

b. experienced changes in several executive role constellation positions.

Data gathered through documentary review and semi-structured interviews revealed the following emergent categories.

a. Successors may tend to cause previously existing institution positions to evolve from a relatively invisible and powerless position to a highly visible and potentially powerful locus in the executive role constellation. Documentary evidence gathered on Case A and Case B supported this category. However, interview data revealed that recent legislative action had contributed to or caused the evolution of the positions from obscurity to a place in the executive role constellation. Cases C and D did not support this category. This category was not saturated and was eliminated.

b. Governing boards may seek and select successor CEOs who epitomize the institution or can represent the institution effectively to interested constituencies. This category was strongly supported by Case A, Case B, Case C and Case D. In each case the governing board selecting the successor wanted a CEO who could communicate effectively with the different institutional constituencies. This category was saturated.

c. Governing boards may seize opportunities such as a routine predecessor CEO departure to redirect the institution, capitalize on predecessor leadership strengths and successes, and compensate for predecessor leadership shortcomings. This category was strongly supported by Case A, Case B, Case C and Case D. In each case the governing board sought a successor who would have a positive effect on the institution. That effect may have been to capitalize on a predecessor's successes (Case A, Case B and Case C) or redirect and reorganize an institution (Case D). This category was saturated.

d. Governing boards may benefit from an outside consultant assisting in the search process and in defining what the college needs or wants as a successor. This category was supported by Case A, Case B and Case C. Case D did not use a consultant. In Case A, Case B and Case C the governing board used the consultant(s) to assist in developing a position description, preparing position announcements, screening and ranking applicants. There was no strong evidence of other assistance. Case D did not use a consultant. This does not negate the idea that they might have benefitted from a consultant. This category was saturated.

e. Governing boards may intuitively or consciously accept a "visible" and "aggressive" administrative style as necessary for institutional change and give a successor CEO latitude to capitalize on his/her style to change the institution. Governing boards tend to select successors for a purpose other than just administering the institution. That purpose, which may be marketing or reorganizing the institution, may contribute to the development of a hiring profile that defines the management style of the successor. This category was largely supported. All four cases supported a sub-category that: Governing boards may intuitively or consciously accept a "visible" and "aggressive" administrative style as necessary for institutional change. However, there was little evidence that governing boards gave a successor CEO latitude to capitalize on his/her style to change the institution. In Case A, Case B and Case C the predecessor was well regarded in the community by local opinion leaders and faculty. The successor CEO was careful to preserve the predecessor's reputation. Selection of a successor who changed the institution would have constituted criticism of the predecessor's tenure. In Case D, the predecessor was mandated to make major organizational changes. Predecessor effectiveness had declined for two to three years prior to his early retirement. There were inconclusive data to suggest that, when hiring, governing boards select a successor with the administrative style that best fits their and the institutional needs. This part of the category not saturated and was eliminated. The saturated category is now: Governing boards may intuitively or consciously accept a "visible" and "aggressive" administrative style as necessary for institutional change.

f. Governing boards tend to select a successor CEO with a personality and/or management style different from the predecessor. This category was strongly supported by each case. The successor CEO in each case was described as "totally different," "180 degrees different," and "very different" in personality and management style from their predecessors. This category was saturated. This may be the Rebecca Myth manifested. Case A, Case B and Case C interviewees clearly stated that the predecessor had a different management style, not a bad management style. Case D clearly supported the Rebecca Myth.

g. A successor CEO having held a previous CEO position in a community college may tend to cause fewer strategic replacements than a new CEO without previous experience as a community college CEO. This category was not pertinent to Case A since that successor CEO had not previously been a community college CEO. Case B and Case C supported the category. Case D contradicted this category. This category was not saturated and was eliminated.

h. A successor CEO having previous experience as a community college CEO may tend to delegate more authority and responsibility to members of the executive role constellation. This category was supported by Cases A, B and C. Interview data indicate that the successor CEOs in Cases A, B and C tended to delegate more than their predecessors. Case D data suggest that the successor is attempting to delegate authority and responsibility to subordinate administrators. The attempts to delegate responsibility have met with resistance from some members of the administration. This category was not saturated and was eliminated.

i. Founding CEOs may tend to have a directive management style. Successor CEOs may tend to have a participatory or delegative management style. This category was supported by Cases A and B. The successor CEO in Case C acknowledged his more directive management style. However, interviewees reported that the Case C successor CEO's management style was more open than his predecessor's. Case D did not support the category. Case D successor attempted to use a participatory and delegative management style. He reported encountering resistance to delegating and a reluctance by many to participate. This category was not saturated and was eliminated.

j. Community college governing boards seeking changes in institutional goals and direction will seek an outside successor. This category was supported by Case A, Case B, Case C and Case D. Each successor CEO was an outsider. Two (Cases A and C) had served in high level educational administration positions in the same state prior to their succession to the presidency. In the other two cases (Cases B and D) the successor CEO was employed from out of state. In each case local opinion leaders and key members of the institutional administration stated or implied that some change in "visibility," or "direction" was necessary. This category was saturated.

k. Community college governing boards seeking new environmental information will seek an outside successor. This category was supported only in Case B and Case D. Local opinion leaders, key administrators and opinion leading faculty in Cases B and D stated that the new CEO represented "new blood" in the organization and that he/she needed an "external focus." This category was not saturated and was eliminated.

l. A successor CEO using a participative administrative style may tend to fewer strategic replacements than will other administrative styles. This category was partially supported by Case C. Cases A, B and D did not support this category. Cases A and B successor CEOs caused strategic replacements in the executive role constellation as did the Case D successor CEO. This category was not saturated and was eliminated.

CHAPTER V: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Introduction

This chapter includes five sections: summary of the study, findings of the study, conclusions, a substantive discussional theory of community college CEO succession, and recommendations for future research.

Summary

The study used case study methodology to develop a grounded theory of community college CEO succession. The study used documentary search and semi-structured interviews to gather data pertaining to the effects of community college CEO succession on organizational structure and incumbent changes in these positions.

The study used a series of case studies, each examining changes that occur in the administrative hierarchy of a selected community college in a two-year period following CEO succession. Each institution selected was a publicly funded community college with a locally elected governing board.

The data gathered in each case were examined to determine whether the preliminary theoretical categories derived from the review of the literature were supported. The preliminary theoretical categories were:

a. Formal internal organizational design would change within two years following CEO succession.

b. Incumbents in the executive role constellation would change within two years following CEO succession.

Each case contributed to the development of some previously identified emerging theoretical categories, failed to support others, and/or identified new emerging categories. These new categories were then compared to data gathered in succeeding cases to saturate theoretical categories initially identified or emergent. The emergent saturated categories are:

a. Governing boards may seek and select successor CEOs who epitomize the institution or can represent the institution effectively to interested constituencies.

b. Governing boards may seize opportunities such as retirement of a predecessor CEO to redirect the institution.

c. Governing boards may benefit from an outside consultant assisting in the search process and in defining what the college needs or wants as a successor.

d. Governing boards may intuitively or consciously accept a "visible" and "aggressive" administrative style as necessary for institutional change.

e. Governing boards tend to select a successor CEO with a personality and/or management style different from the predecessor's.

f. Community college governing boards seeking changes in institutional goals and direction will seek an outside successor.

Findings

The researcher examined the data to determine how they conformed to constructs identified in the literature review. The scapegoating construct of Gamson and Scotch (1964) was not supported. Gamson and Scotch said that organizations would use a "scapegoating ritual," termination of a CEO, to demonstrate to interested constituencies that higher level management was acting appropriately to "fix" an organizational problem. Predecessor CEO retirement is an artifact of the cases selected. Predecessor CEOs left their positions because of normal retirement (Cases A and B), to accept a more responsible position (Case C), and to accept early retirement (Case D). Therefore, no data affirming or negating the scapegoating construct were discovered.

Thiemann (1968) found that institutions with a history of hiring insider CEOs or with a CEO of long (unspecified) tenure may become "diluted" (p. 53). Dilution implied an institution in which the CEO gave more management attention to internal political demands than to management of the organization for its intended purpose. The CEO seeks to maintain the status quo and compromises the needs of the organization to meet the expectation of its members.

Thiemann noted that when this happens a "purging outsider" (p. 53) must be found. In each case, A, B, C, and D, an outsider was employed. Case A benefitted from an outsider as successor CEO who could capitalize on predecessor successes. The institution in Case B was well administered but needed "a different kind of leadership." Case C had a history of CEO successions every six or seven years. In the most recent succession, the governing board also intended to improve on predecessor CEO strengths and successes. Case D is the strongest example of Thiemann's finding. Case D examined a "stagnant" institution and a governing board that wanted major changes quickly. This may be because it was the only case not involving normal retirement.

Berger (1983) found that governing boards expected change following a CEO succession. In Case A, local opinion leaders reported that the governing board wanted increased community visibility for the institution. Case B opinion leaders wanted increased visibility in the community, a more vigorously marketed institution and a more participative management style. The Case C governing board wanted an "aggressive marketer" as successor CEO. In Case D the governing board wanted the institution's organizational structure redesigned, the school to begin serving the district more effectively, a proactive management style in place, and a reduced school "bureaucracy."

The One Way Causality Model (Grusky, 1963) of successor effect is also supported. Governing boards capitalize on predecessor CEO departures to change an institution in some way. The governing board in each study case expected change and selected a successor CEO who they expected would carry out board instructions. In each case, opinion leading faculty and key administrators stated that change had occurred. They further indicated that the changes had conformed to governing board guidance. It is not clear whether there were actual organizational changes or perceptions of change which might be attributable to Labeling Theory described by Biddle (1979). The board and the administration expected change; therefore, they saw change, attributing the changes to the CEO.

The Negative Effect (NE) Model (Grusky, 1960, 1963) was supported by the data. The NE Model stated that every succession was disruptive to the organization. Data in Case B and Case C indicated disruption of informal institutional communication networks and changed relationships relative to the CEO. Case D strongly supported the NE Model. The reorganization directed by the governing board disrupted informal institutional communication networks, changed relationships relative to the CEO and made several changes in the membership and organizational structure of the executive role constellation.

The data did not support the No Way Causality (NWC) Model (Gamson & Scotch, 1964) of successor effect. The NWC Model stated that a succession had no short-term effect on organizational effectiveness. In each case, interviewees perceived changes in the organization following succession.

Helmich (1974) noted that inside successions were non-adaptive. Non-adaptive behavior shows a lack of organizational interest in gathering important information from the environment with which the organization can relate and legitimate itself to the external environment. Helmich termed an organization with outside successors as adaptive. An adaptive organization seeks information from the environment so that it may relate to the external environment more effectively. Thiemann (1974) suggested that organizations which experience a series of inside CEO successions may eventually experience weakened organizational leadership.

Since in each case of this study, the institutions had conducted national searches for successor CEOs and had hired outsiders, there were no insider CEOs with which to compare and contrast performance. However, in two of the cases the outsider had prior senior educational administrative experience in the state community college system.

Stoke (1959) noted that the idea of forming a new administrative team is intuitively appealing but difficult to implement. If a successor CEO could form a new administrative constellation following each succession, administrative positions would share the instability of the CEO. There was no evidence in Case A, Case C or Case D that there was any previous professional relationship between the successor CEO and a newly employed member of the executive role constellation. In Case B, the successor CEO had previously known a person hired into the executive role constellation. The successor CEO disassociated himself from the selection process until a final recommendation was made. This study affirms Stokes' idea that a successor CEO forming a new administrative team is unlikely.

Prior research suggested that strategic replacement was an effective means of opening communication channels (Gouldner, 1954). This was not supported by the study. In Case A and Case D where strategic replacement or major organizational change had occurred there were increased perceptions of poor communication and low morale among the faculty. In both cases where change was induced by the successor there was a feeling of fear and insecurity reported by key faculty and senior administrators. In this study, strategic replacement inhibited communication.

Bradshaw (1974) found that changes in board membership had no apparent effect on CEO tenure. This was supported by Cases A, B, C and D.

This study did not support Gouldner's (1954) conclusion that new successors tended to increase organizational bureaucracy. On the contrary, in all four cases the governing board stated or implied that the successor CEO was to open up communications between faculty, staff and administration. In each case the board sought a successor CEO who would reduce bureaucracy and "over-administration" which had developed over time. A finding of increased bureaucracy following succession was not supported in any of the cases. However, Gouldner found that governing boards made CEO changes in expectation of improving organizational effectiveness. This was supported in Case A, Case B, Case C and Case D. In each case, the search committee and/or board sought a visible, extroverted, accessible CEO successor to open lines of communication with faculty, staff, governing board and the community. They sought a leader who would improve student enrollment, enhance institutional image and improve institutional effectiveness. In each case, local opinion leaders stated that the successor CEO was the person that the institution needed and the governing board wanted.

Conclusions

A review of historical data supported a number of preliminary theoretical categories presented in Chapter I. The preliminary theoretical categories were:

a. Formal internal organizational design would change within two years following CEO succession.

b. Membership in the executive role constellation would change within two years following CEO succession.

In each case there were at least two changes in the organizational shape or membership of the executive role constellation in a two-year period following succession. These changes included two which were attributable to legislative demands, two due to death of the incumbent, nine new positions created, six title changes and three positions eliminated.

Twelve additional categories emerged from the data. Six categories were saturated. These saturated categories were:

a. Governing boards may seek and select successor CEOs who epitomize the institution or can represent the institution effectively to interested constituencies.

b. Governing boards may seize opportunities such as a routine or non-routine predecessor CEO departure to redirect the institution, capitalize on predecessor leadership strengths and successes and compensate for predecessor leadership shortcomings.

c. Governing boards may benefit from an outside consultant assisting in the search process and in defining what the college needs or wants in a successor.

d. Governing boards may intuitively or consciously accept a "visible" and "aggressive" administrative style as necessary for institutional change.

e. Governing boards tend to select a successor CEO with a personality and/or management style different from the predecessor's.

f. Community college governing boards seeking changes in institutional goals and direction will seek an outside successor.

A Grounded Theory of Community College CEO Succession

This exploratory study has identified eight theoretical categories which became sufficiently saturated with data to support reporting in this study.

CEO successions in public community colleges are followed within two years by changes in the organizational structure of the executive role constellation of the institution. Changes in organizational structure may be made in response to governing board perceptions or external political or economic pressures. Changes in organizational structure may also be made to reduce the size of the institutional bureaucracy and make the institution more efficient.

CEO successions in public community colleges are followed within two years by changes in the membership of the executive role constellation of the institution. Executive role constellation membership will change for different reasons including voluntary resignations, retirements and health related problems. Others will change as the shape of the executive role constellation is changed. Some may depart voluntarily, unconsciously reacting to stress associated with a CEO change. New members of the executive role constellation will replace those departing or fill newly created positions.

Governing boards will often seek and select successor CEOs who epitomize the institution and who can represent the institution effectively to interested constituencies. Governing boards seek CEOs who will maximize support to the institution. These are CEOs who can communicate the goals and needs of the institution to all interested constituencies. Governing boards want effective institutional marketers.

Governing boards often seize the opportunity presented by the retirement of a CEO to redirect the institution and compensate for predecessor leadership deficits. Governing boards will take advantage of CEO successions as a logical time to institute change. Change may be minor, causing few modifications to how an institution operates post succession. Change may be major, and include one or more strategic replacements, changes in institutional policies or a general reorientation of the institutional mission. Changes usually have clear intent, including improvement of institutional internal and external communications, improvement of service to the institutional district or reorganization to reduce the bureaucracy and improve institutional efficiency.

Governing boards seeking institutional change recognize the multi-faceted character of change management in community colleges. Therefore, governing boards seek an extroverted and "visible" successor who actively promotes the institution and institutional needs to various constituencies.

Governing boards select successor CEOs with personalities and/or management styles different from the predecessors'. This is related to the boards' desire for visible, aggressive leadership. A different CEO personality will demonstrate to all interested constituencies that institutional leadership has changed. Additionally, a different personality and/or management style will be required to affect change in the institution.

Community college governing boards that seek changes in institutional goals and direction also seek an outside successor. Such boards presume that organizational change can best be instituted by an outside successor. They think that an outside successor will not be encumbered by the political and personal relationships that may affect an insider.

Community college CEO succession impacts institutional administrative organization and the membership of the executive role constellation. Governing boards seek CEOs who will effectively represent and market the institution. Community college governing boards prefer to wait for a CEO retirement as an opportunity to hire a successor CEO to start change rather than to effect a CEO termination. Governing boards assume a strong personality, e.g., visible and aggressive, will be an effective change agent. The predecessors in this study were not extroverts. The governing boards in all four cases wanted a different administrative style. The extroverted personalities of the successors may be evidence of one way governing boards could evaluate how the predecessors and successors were different. Governing boards will also seek a successor CEO with a personality different from the predecessor's and will probably seek an outsider.

Recommendations

The following recommendations are the result of observations made during the course of this study. The emerging categories and areas offered below may guide further research.

Also, the discussional theory of community college CEO succession may benefit from the application of appropriate quantitative methods to test its component parts. The theory or parts of the theory may be tested using statistical analysis of survey-generated data from a larger study population.

A study may be conducted in different regions of the United States and in different institutional contexts such as private two-year institutions and public or private four-year institutions.

Studies may also examine CEO succession in institutions having state-level governing boards with local advisory boards or appointed local governing boards.

Possible emerging categories

The following emerging categories may be clarified through subsequent research.

a. Successor CEOs with previous CEO experience may cause less change in the executive role constellation than first-time community college CEOs.

b. Governing boards may select successor CEOs as institutional marketers in areas of school enrollment decline or reduced state financing.

c. Successor CEOs may balance hires into the executive role constellation between inside and outside hires as a way of introducing new information into the institution from outside.

Prospective Topics for Future Research

This study included successions that resulted from retirement. Future researchers can further examine this phenomenon. Researchers can also examine CEO succession involving termination to further test Thiemann's (1968) "dilution" construct, Gamson and Scotch's (1964) "scapegoating" construct, and Helmich's (1974) adaptive/non-adaptive construct of insider/outsider succession. Gouldner's (1954) strategic placement concept could also be studied in CEO successions involving a termination.

Quantitative analysis of succession phenomenon using appropriate statistical methods may examine a large institutional population in order to further describe CEO succession in the community college. Survey research can examine whether governing boards seek and select successors who can most effectively represent the institutions. Governing board tendency to seize opportunities such as CEO retirement to redirect the institution can be examined quantitatively with survey research or qualitatively, using case study methodology.

Future researchers, using quantitative or qualitative methods, can examine the extent to which governing boards benefit from outside consultants during a CEO search.

Future researchers can also examine if and how predecessor and successor CEO personalities and management styles differ. Future researchers may also examine the frequency of and cause for governing boards to select outside successors.

APPENDIX A:

SUMMARY OF MAJOR STUDIES OF SUCCESSION

Summary of Major Studies of Succession

This appendix presents a summary of some of the most often referenced studies of CEO succession.

Investigator	Context	Time Frame
Gouldner (1954)	A gypsum mining corporation	1948-51
Grusky (1960)	Generic organizations	unstated
Gouldner (1957-58)	Cosmopolitans and locals in organizations	unstated
Trow (1961)	108 small manufacturing corporations	varied
Guest (1962)	Large automobile manufacturing plant	3-year period
Clendenin (1972)	Publicly held corporations and respective governing boards	"Last 50 years"
Helmich and Brown (1972)	208 chemical companies	1959-69
Helmich (1974)	29 companies	1964-72
Helmich (1977)	Corporate organizations	unstated
Helmich (1978)	54 petrochemical companies	1945-65
Osborn, Jauch, Martin and Glueck (1981)	313 large industrial firms	1930-74
Nadler (1982)	American Telephone & Telegraph	1980-82
Lubatkin and Chung (1985)	Corporate organizations	5 years post-succession
Grusky (1963)	16 professional athletic teams	1921-41, 1951-58, 1954-61
Gamson and Scotch (1964)	22 professional baseball teams	1954-61

Grusky (1964)	22 professional baseball teams	1954-61
Eitzen and Yetman (1972)	522 collegiate basketball teams	1930-70
Allen, Panian and Lotz (1979)	Professional baseball teams	1920-73
Brown (1982)	26 professional football teams	1970-78
Carlson (1961)	Public school systems in CA & PA	1926-58, CA; 1922-59, PA
Moen (1971)	Partisan elected school boards in PA	1966-70
Moen (1976)	Partisan elected school boards in PA	1966-70
Berger (1983)	56 school districts	1970-71 to 1979-80
Miskel and Owens (1983)	Midwestern school system	unstated
Miskel and Cosgrove (1984)	School systems	unstated
Fauske and Ogawa (1985)	Elementary school faculty	1982-83
Miskel and Cosgrove (1985)	School systems	unstated
Ogawa and Smith (1985)	Small suburban elementary school	1983-84
Gephart (1978)	Emerging social organization	1973-74
Bjork (1985)	University of New Mexico	1967-72
Kolman et al. (1987)	3 Catholic universities	1982-85
Meyer (1982	215 local municipality finance departments	1966-72

Carroll, Delacroix and Goodstein (1988)	Political environments of governments	unstated, historical perspective
Kotin and Sharaf (1967)	State mental institutions	1964-65
Kerner-Hoeg and O'Mara (1980)	60 US Army battalions	May-November, 1978
Carroll (1984)	Major metropolitan newspaper publishers	1800-1975
Thiemann (1974)	Literature review	unstated
Gorden and Rosen (1981)	Literature review	unstated
Bradshaw (1974)	12 California community college districts	1956-72

APPENDIX B:

SAMPLE RESEARCHER LETTER TO COMMUNITY COLLEGE CEOS

Travis P. Kirkland
6465 Theresa Drive
Johnston, Iowa 50131

July 7, 1989

Dear ___________:

As we discussed earlier this week, I have reached the point in my dissertation study that I can begin to gather data. I would, therefore, like to arrange with you to begin that work using _____________ as the first study case. The study will develop a grounded theory of community college CEO succession using case study methodology. I would like to interview you and selected opinion leaders, on and off campus, as I develop the case. In order to identify opinion leader in your community I would appreciate your identifying some on campus that I may contact and request their perceptions of who the local opinion leaders are. From this list, I would select a few persons who I could contact and ask to participate in the study.

As a prelude to conducting the interviews, I would appreciate an opportunity to review certain institutional historical documents, some of which include:

a. college catalogs for the years 1986, 1987, 1988 and 1989;

b. minutes and agendas of executive councils and deans meetings for the years 1986, 1987, 1988 and 1989;

c. institutional histories that cover the years 1986, 1987, 1988 and 1989;

d. minutes and agendas of governing board meetings for the years 1986, 1987, 1988 and 1989;

e. any dissertations or other research reports that studied the history, personnel management or organizational structure of the college during the period of study, 1986 to 1989;

f. governing board self evaluations for the period 1986-1989.

At the enclosure I have outlined how I will identify opinion leaders, briefly addressed the subject of study respondent confidentiality, and provided you with copies of Chapters 1 and 3 as approved by my study committee.

I will contact you by telephone in the near future. Thank you for your consideration.

Sincerely,

Travis P. Kirkland

Encl
as

OPINION LEADER SELECTION

Opinion leaders for the study will be selected by first soliciting a list of 10 names and addresses or telephone numbers of opinion leaders in the faculty or staff and 10 opinion leaders in the local off-campus community. Each of these persons will be contacted, preferably in writing, explaining the study and asking that they list the names and addresses or telephone numbers of 10 opinion leaders in their respective groups (on or off campus). Each of these lists will be examined to determine which names, if any, appear repeatedly.

The persons whose names appear frequently or repeatedly (a subjective determination made by the researcher) will be contacted and asked to participate in the study as an interviewee.

NOTE: Lists of opinion leaders and references as to who considered them opinion leaders will be destroyed at the conclusion of the study. The lists of opinion leaders will be maintained in a locked box in the researcher's home during the course of the study and until destroyed.

STUDY CONFIDENTIALITY

Confidentiality in this study will be assured using a code system to identify individual respondents and institutions. The list linking codes to respondents will be maintained in one copy in a locked box at the researcher's home.

All linkage lists will be destroyed upon completion of the study. All tapes used to record interviews will be erased upon completion of the study.

Any articles resulting from the dissertation research will be presented in such a way as to minimize the possibility of inadvertent disclosure of study subjects.

APPENDIX C:

DATA CODING MATRIX

Data Coding Matrix

Category	Memo	Datum

CATEGORIES:

The category will consist of an alpha-numeric code assigned to each new datum. As new categories are developed or delimited a new alpha prefix will be assigned.

MEMOS:

The memo column provides space for comments relative to datum, insights and observations related to previously identified or possible categories or ideas to be pursued in future interviews.

The memos may also review logic used when collapsing theoretical categories into more delimited theoretical categories. This section is informal and intended to facilitate data evaluation and understanding.

DATUM:

Selected quotes, notes or information developed as the result of interviews and other data gathering activities. Each is assigned an alpha-numeric category code to facilitate analysis and future theory delimitation.

APPENDIX D:

RESEARCHER'S MEMO FORMAT

Researcher's Memo Format, CEO Succession Study

Record the thought, concept or idea: (What the researcher discovered or thought was discovered; the information is not necessarily evaluated at the time it was discovered.)

Possible relationships to other data: (What might this memo and the datum included be related to? How, why, what circumstances, etc?)

Does this memo suggest theory expansion or delimitation? (Is the emerging theory changed in some way by the content or concept represented by this memo?)

APPENDIX E:

CATEGORY SATURATION ASSESSMENT TABLES

POSSIBLE THEORETICAL CATEGORIES

1 - Insider successor

2 - Outsider successor

3 - Institution has history of frequent CEO change

4 - Board and/or institutional constituencies seeking a change agent as CEO

5 - Board and/or institutional constituencies seeking a different management or administrative style

6 - New CEO is or is seen as a "risk-taker"

7 - Board defines successor CEO characteristics needed or wanted during the selection process

8 - Board seeking an aggressive CEO

9 - Increased institutional and CEO visibility considered important by the governing board and/or institutional constituencies

10 - Changes occur in the hierarchial shape of the institution

11 - Changes occur in the Executive Role Constellation

12 - Board seeking a "new direction" for the institution

13 - Previously existing positions elevated or strengthened by the successor CEO

14 - Predecessor CEO had been in the CEO position over 10 years

15 - Predecessor CEO was the founding CEO

16 - Successor CEO had held a senior educational administrative position in-state immediately prior to assuming his/her current presidency

17 - Successor CEO understands and accepts the benefits of hiring outsiders into the Executive Role Constellation

18 - Successor CEO seeks to employ women and minorities into the Executive Role Constellation

19 - Consultant hired to assist in the search for the successor CEO

20 - Successor CEO to capitalize on predecessor CEO strengths and work to strengthen areas in which the predecessor had been weak

21 - Successor CEO has a different management style from predecessor CEO

22 - Successor CEO is a long-range planner

23 - Successor CEO is a delegative/participatory manager/administrator

24 - Successor CEO is a "very" different personality from the predecessor CEO

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
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2	SUBJECT	11	12	13	14	15	16	17							SUPPORT		
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2	SUBJECT	11	12	13	14	15	16	17	18	19					SUPPORT		
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1	INTERVIEW														DOCUMENT	YES	NO
2	SUBJECT	11	12	13	14	15	16	17	18	19	20				SUPPORT		
3																	
4	CATEGORY																
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13	8	*		*		*		*			*				*		
14	9		*				*	*			*						
15	10	*	*	*		*	*	*	*						*	*	
16	11	*	*			*	*	*	*	*	*				*	*	
17	12	*	*	*		*	*	*	*	*	*						
18	13																
19	14	*	*													*	
20	15																*
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24	19																*
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26	21	*		*		*	*	*	*		*						
27	22	*		*		*	*	*		*							
28	23			*					*		*						
29	24	*	*	*		*	*	*	*	*	*						
30	25																

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q
1	INTERVIEW														DOCUMENT	YES	NO
2	SUBJECT	11	12	13	14	15	16	17	18	19	20				SUPPORT		
3																	
4	CATEGORY																
5	CODE																
6	1																**
7	2						*									*	*
8	3														**		**
9	4	***	**	**	**	***	***	**	**	*	*						
10	5	***	**	**	**	***	**	***	**	*	*				*		
11	6		*			***	**										
12	7			*													
13	8	**	**	***	*	**		*			*				**		
14	9	***	***	**	***	***	***	***	*	*	*				*		
15	10	**	**	**	*	**	***	**	*						***	***	*
16	11	*	***	*	*	**	***	**	***	*	*				****	****	
17	12	***	***	***	*	***	*	**	*	**	*				*		
18	13	*						*								*	
19	14	***	*	**		*		*								**	
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21	16	**				*										*	*
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24	19	*		*	**	*		*									*
25	20		***	*	*		**	*		*							
26	21	***	**	***	**	***	**	***	**		*					**	
27	22	****		**		**	*	***	*	*							
28	23	***	**	**	**	**	**	**	***		*						
29	24	**	***	***	***	***	***	**	***	*	*						
30	25																

APPENDIX F:

INITIAL DRAFT OF DATA GATHERING INSTRUMENTS

This instrument is adapted from one developed by R.H. Bradshaw (1974) for use in his study of executive succession in community colleges.

Semi-structured interview guide

Community college CEO succession study

START TAPE

Date of Interview:__________________________________

Personal identification data:

Interviewer observations of respondent:

Sex:_______________ Ethnic Background:__________________

Information sought from the respondent:

Age:____

Highest Educational Level Attained:__________________________

____

Interview was held on:

(date)____

Respondent's

(name):____

Respondent's position and title:

____

Institution with which respondent is

associated:______________________________________

This interview is being conducted by ____________________ ________________________________ and is being taped with __________________________'s consent and with the understanding that all information will be used and reported in such a way that the identity and institution of the respondent will not be divulged. This interview is the one of an unspecified number of interviews held with the CEOs and senior administrators and selected others in selected public community colleges in the United States. This preliminary interview design may be modified as the research progresses in order to achieve saturation of theoretical categories as suggested by Glaser and Strauss in the development of a grounded theory of community college CEO succession.

Is the interview agreeable to you under these conditions?____________ RECORD RESPONSE AND NOTE ANY MODIFICATIONS REQUESTED BY THE RESPONDENT

Successor Career Data

FOR CEOs

What I want to discuss with you is the situation that existed relative to your assumption of the role of CEO of ____.

FOR ADMINISTRATORS AND OTHER RESPONDENTS: What I want to discuss is the situation that existed prior to the current CEO, DR.________________________________, arrival and the events that followed his/her arrival.

Please give me a little information about your professional background before you assumed your present position.

When did you assume your present position?___________________

What was your immediate prior position?______________________ (Title, institution, and dates)

Predecessor Career Data

Who preceded you in your present position?____

How long had he/she been in the job?

____

Had he/she been in this community college prior to that? __________ If so, in what capacity? ________________________

Was he/she the founding CEO? ________________________________

INFORMATION RELATED TO THE CREATION OF THE POSITION

Where did the predecessor go when he/she departed?

____

Why did the predecessor leave?

____

____

Forced by the board?____

His/her decision? _________ Mutual decision of board and predecessor? ____

Notwithstanding any public announcements relative to the predecessor's departure, was the departure, in your estimate, voluntary or involuntary?________________. Can you explain?

If the decision was the predecessor CEO's:

Retired? _______ Age?____________ Special circumstances? _______ Can you say what they were?_________________________

Another Job?_________________ Where?______________ Doing what?____

Did the former CEO resign for any other reason?

____

What was that reason?____

Was the relationship with the board involved?

____

Was there a change in board membership in the last year or two?____

Were there any indications of opposition or conflict within the board or of the board toward the predecessor CEO? ________________________ What was the nature of the conflict? ___________________________________ Who was in conflict? ______________________________ What were the issues? ____

Were there other circumstances that affected the succession/departure of the successor? ______________________

____

Were those circumstances: Clear? ____________________________

Vague? __________ Known to the public? _____________________

Were there other groups involved in the pre-succession activities that led to the predecessors departure?

____

What were they? ____

Faculty? _________ Community? ___________ Other(s)? _________

If the predecessor's departure was a board decision, how was the action to release the predecessor taken?_________________

Dismissed? _________ Contract non-renewal? __________________

Resignation requested? _____________________________________

What evidence is available to further develop data surrounding the board's decision? News reports? ____________

Board minutes?____

Corroboration of others? ______________________________

Other sources? ______________________________

Circumstances of the predecessor's departure?:

What was the issue? ______________________________

Were board personnel most involved? ______________________________

Other persons involved? ______________________________

Do you have any information about how the predecessor was regarded during his/her tenure? ______________________________

____

Did that perception change after the succession in any way?

____

INFORMATION PERTAINING TO THE GOVERNING BOARD

REVIEW OF DOCUMENTARY EVIDENCE

What is the nature of the process by which board members come to their positions? Non-partisan elections? ________

Partisan elections? ________ Political appointment? ________

Other? ______________________________

Were board incumbents defeated in the last election? ________

What were the circumstances of the defeat? ________

____

What was the effect of the replacement on the board?

____

Was there: Conflict? ____________________________ Change in focus?_________________________ Adaptive behaviors you could identify? ____

What was the effect of the replacement on the CEO?

Conflict with the board?____________________________________

Change in direction? _______________________________________

Turnover? ____

Did the structure of the institution change as a result of a board change? ____

How did the structure change? ______________________________

What were the effects of the change on the administration upper echelons? ____

____ What were circumstances of the changes? _____________________

____

INFORMATION ON THE SELECTION OF THE SUCCESSOR

What were the circumstances of (your) (his/her) appointment?

____

Was there a search? ____________________ Was the search:

open? ____________ limited? ___________ token? __________

What was the composition of the screening committee?

____

What procedures did the screening committee use? ___________

____

Were there other candidates for the position? ______________

____

Were they: Insiders? ______________ Outsiders? __________

Where is he/she now? ____________________________________

Was your predecessor involved in the selection process? _____

______________________ What was his/her role in the

process? ____

Did the predecessor influence the decision? ______________

______________________ Can you say in what way?___________

____

Were others inside the organization consulted? ____________

____

Who: faculty? ____

classified (non-teaching) staff? __________________________

students? _______________ others? _________________________

What procedures were used when consulting these groups?

___

For successor CEOs:

In any meetings with the board prior to being hired for your present CEO position:

What topics were discussed? ___

___

Was the predecessor present? ___

What were the circumstances of offer and acceptance? ___

___

For outside successors:

How did you become aware of the position opening? ___

Prior association with a member of the board? ___

___

From your predecessor? ___

From someone else? ___

For successor CEOs:

What did you know of any inside candidates?

___

___

INFORMATION PERTAINING TO THE BOARD'S INSTRUCTIONS TO THE SUCCESSOR

When you were appointed to your current CEO position, did the board or the hiring entity indicate that there were any problems or changes that they expected you to act on?

What was the nature of the problem? ______________________________

____

Who and what was involved? ______________________________________

____

How was the information conveyed to you?

By the full board? ______________________________ In an executive session? ______________________________ By the chairman of the board? ____________________ Some other method or person?______________________________________

Was board support: discussed? ________ promised? _______ needed? __________________ given? ______________________

How was this support communicated to you? _________________

____

If the board did not communicate to you what their expectations were, how did you assess the boards wishes?

____

____

What were your goals for the college when you accepted the position? ____

Information pertaining to changes made by the successor

What kind of changes did (you) (the successor CEO) make in the first year of two. ______________________________

____

Did (he/she) (you) make changes such as the following:

Major changes in mission or focus? From what to what?

____

____

Changes in rules or regulations? Why? ________________

____

Whom did the changes affect? _________________________

____

Make changes in the organizational structure? ___________

Were positions added? ____________ What positions were added? ______________________________________

Why were they added? _________________________________

Were positions deleted? ___________ What positions were deleted? ______________________________________

Why were they deleted? ______________________________

Were some positions combined, changing the shape of the organizational chart and major administrator job descriptions? ___________ Which positions? ___________

____

Why? ____

____

At what organizational level were the changes made? ________

____

Were there new appointments of administrative personnel?

____

____

Were these new appointments known to you previously? ________

In what capacity had you known them? ________________

____

Can you elaborate on the circumstances surrounding the new appointments? ________________________

____

Were there changes in the educational program? ________

What were the nature of the changes? Additions? ________

Deletions? ____________ Emphasis change? ____________

Was there board support for these changes? ____________

Was support from other constituencies available, if needed, from: faculty? ________ administration? ________

students? ____________ community? ____________

What problems and successes did you encounter in achieving the change goals? ________________________

____

____

CONCLUSION

Thank you for you help on this project.

May I call back for additional information? ______________

I will handle the information in a confidential manner.

If you wish, I will provide you with an synopsis of the study when completed.

APPENDIX G:

BLANK LINKAGE LIST

Linkage List for Identification of Schools and Interviewees in CEO Succession Study.

This form was maintained in a locked box in one copy for each school participating in the study. Upon completion of the study, these linkage lists were destroyed.

School Name:	School Code:
Names of Interviewees:	Code Assigned to Interviewee:

APPENDIX H:

EXPERT PANEL

EXPERT PANEL

Geraldine A. Evans, President
Rochester Community College
Rochester, MN 55904
507 285-7210

Douglas D. Alder, President
Dixie College
225 South 700 East
St. George, UT 84770
801 673-4811

Jerry Ryan, Vice President for Development
Monroe Community College (State University of New York)
PO Box 9720
Rochester, NY 14623
717 424-5200

John J. Prihoda, Superintendent/President
Iowa Valley Community College District
3700 South Center Street
PO Box 536
Marshalltown, IA 50158

Estela M. Bensimon
Center for the Study of Higher Education
Pennsylvania State University
133 Willard Building
University Park, PA 16802
804 865-6347

Judy Diane Grace
Director of Research, CASE
11 DuPont Circle, Suite 400
Washington, DC 20036

TRAVIS P. KIRKLAND
6465 Theresa Drive
Johnston, Iowa 50131

August 23, 1990

Dr. Estela M. Bensimon
Institutional Leadership Project
Teachers College of Columbia University
P.O. Box 38
525 W. 120th Street
New York, NY 10027

Dear Dr. Bensimon:

Just a note to express my appreciation for your review of my research instrument. Your observations concerning personalizing questions and modifying format were very useful. I would like to use or adapt parts of the protocols you sent me if you will permit. I'll contact you again when I have completed my second draft of the instrument.

Incidentally, your letter was useful to me in more ways than just those related to the primary question. I'll know better how to present such request for assistance in the future.

Thank you again.

Sincerely,

Travis P. Kirkland

(515) 242-5263(o)
(515) 278-1200(h)

TRAVIS P. KIRKLAND
6465 Theresa Drive
Johnston, Iowa 50131

August 23, 1990

Dr. Douglas D. Alder
President
Dixie College
225 South 700 East
St. George, UT 84770

Dear Dr. Alder:

Thank you for agreeing to serve on the panel and giving me your insights on the enclosed research instrument.

Please feel free to write directly on the survey. I have enclosed a self-addressed return envelope for your use.

Thanks again,

Travis P. Kirkland

APPENDIX I:

FINAL DATA GATHERING INSTRUMENTS

CEO SUCCESSION STUDY

CEO Interview Instrument

Respondent:
(Code)____

Institution:
(Code)____

Date of Interview:___________________________________

Time of Interview:___________________________________

Location of Interview:________________________________

Interview Conducted By:_______________________________

Interview Setting:___________________________________

1. Introduction

1.1 I am Travis Kirkland, a doctoral student at Iowa State University. I am conducting a study that will develop a grounded theory of CEO succession in community colleges. (Explain as necessary: Grounded theory, study background, how this particular school was selected, confidentiality measures taken, status of study, etcetera.)

1.2 This interview will take about two hours.

1.3 I will be taking notes during this interview and using two tape recorders to support my notes. Everything you say will be confidential. I will maintain a list during the conduct of the study that will allow me to identify you should I need elaboration of data. The list will be destroyed when the study is complete and my dissertation has been approved.

1.4 Before we begin the interview, do you have any questions?

===

2.1 I would like to begin by asking you some questions about your appointment to the presidency of [the institution].

2.1.1 When did you assume the office of president here at [the institution]?

2.1.2 What was your position prior to assuming the presidency?

2.2 Please tell me about the selection process that resulted in your being hired for your present position.

2.2.1 Would you describe the selection process for me?

2.2.2 Who was involved in the selection process?

2.2.3 What are the most important things you discovered about the institution during the selection process?

2.3 Did the board have any particular instructions for you when you accepted the presidency?

2.4 What are the most important reasons you think you were selected?

2.5 What were the "campus" expectations of the new president?

2.5.1 How did you know what those expectations were?

2.5.2 Did the campus expectations affect what you did after assuming the presidency? How?

2.6 How long had your predecessor been in office?

2.6.1 Was he/she the founder?

2.6.2 What are the circumstances that led to the departure of your predecessor?

2.6.3 In what ways was your predecessor influential on the campus?

2.6.4 Do you think you are similar in any way to your predecessor? How?

2.7 Institutional Financial Background

2.7.1 Would you say that the financial condition of the college has changed during the period you have been president?

2.7.2 If you think the financial condition has changed, then in what way has it changed?

2.7.3 Has the morale of the school changed since you have been president. If so, in what way?

2.7.4 Has the campus governance system changed since you have been president?

2.7.4.1 How has the governance changed if it has?

2.7.5 How would you account for these changes?

2.8 Some writers say that different leadership styles are needed at different points in an organizations life. What kind of leadership do you think this college needed when you assumed your position as president?

2.8.1 What kind of leadership did [this college] need two years ago?

2.8.2 Would you say that you were hired because you had a different leadership from your predecessor?

2.9 The literature often addresses post-succession change of high level administrators. This team-building activity may be important to this study and I would like to discuss it now.

2.9.1 Who are the members of you executive constellation? Who are the people with whom you work most closely and that have direct and generally unlimited access to you?

2.9.2 How did these persons become a part of the team? (Look for: how selected, were they members of predecessor's team, did new CEO know any of them previously, why were they hired?)

2.9.3 Did you make any changes in the administrative structure after your assumption of the presidency? (Probe for: added positions, deleted positions, consolidated positions, reasons for the changes, administrative level of changes.)

2.9.4 Did you make any changes in the educational programs after your appointment as president? (Probe for kinds of changes, intent, etc.)

2.9.5 Did you make any changes in the institutional mission after your assumption of the presidency? If so, what kinds of changes?

3.1 ASSUMPTION OF THE PRESIDENCY

3.1.1 Can you recall anything you did immediately after assuming the presidency that made it easier for you to influence the direction of the institution?

3.1.2 Did you do anything immediately after you assumed the presidency that made it more difficult for you to influence the direction of the institution?

4.1 Would you do anything differently should you assume the presidency of another community college a few years from now?

4.1.1 What would you do differently?

4.1.2 What would you do the same?

5.1 Did you have any indication that the governing board expected you to make any changes after you assumed the position of president? (Probe for type of changes expected, why the changes were needed, how the need for change was communicated, how the board was to support the new president in making the changes.)

6.1 Was your predecessor involved in any part of the selection processes that resulted in your appointment to the presidency?

6.1.1 Did you predecessor influence the final decision? If he/she did, how?

6.1.2 Were others in [the institution] involved in the selection process? Who?

7.1 Is there anything else you can add about being a new community college CEO that you think may help me better understand community college CEO succession?

CEO SUCCESSION STUDY

Opinion Leaders Interview Instrument

Name: (Code) ______________________________

Institution: (Code) ______________________________

Date of
Interview: ______________________________

Time of
Interview: ______________________________

Location of
Interview: ______________________________

Interview
Conducted By: ______________________________

Interview
Setting: ______________________________

1. Introduction

1.1. I am Travis Kirkland, a doctoral student at Iowa State University. I am conducting a study that will develop a grounded theory of CEO succession in community colleges. (Explain as necessary: Grounded theory, study background, how this particular school was selected, confidentiality measures taken, status of study, etcetera.)

1.2 This interview will take about one hour.

1.3 I will be taking notes during this interview. Everything you say will be confidential. I will maintain a list during the conduct of the study that will allow me to identify you should I need elaboration of data. The list will be destroyed when the study is complete and my dissertation has been approved.

1.4 Before we begin the interview, do you have any questions?

2.1 I would like to start by asking about the events surrounding the appointment of the current college president, Dr./Mr./Ms. _______________.

2.1.1 Can you tell me what expectations the (campus) (community) had of the new president?

2.1.2 How do you know?

2.1.2 How do you think these expectations affected the president since he/she assumed office?

2.2 Can you tell me what the circumstances were that led to the departure of the previous college president?

2.3 Can you think of ways that the previous president was most effective and influential on campus?

2.4 How is the new president similar to the previous president?

2.4.1 How is the new president different from the previous president?

3.1 Has the financial condition of the college changed since the new president arrived?

3.2 Has campus morale changed since the new president arrived?

3.3 Has campus governance changed since the new president assumed office?

3.4 How do you account for these changes?

4.1 Is the new college president's leadership style different from the previous president's style?

4.2 Some research suggests that institutions may need different kinds of leadership at different times. What kind of leadership do you think this college needs now?

4.2.1 What kind of leadership do you think the college needed two years ago?

4.2.2 Why?

5.1 Can you recall anything the president did immediately after assuming the position that made it easier to take charge of the college?

5.2 Can you recall anything the president did immediately after assuming the position that made it more difficulty to take charge of the college?

6.1 What is the most important effect the new president has had on the college?

6.2 What has been the most difficult aspect of assimilating the new president here at the college?

6.3 Has the new president had any effect on college morale?

7.1 Please tell me how the former president was regarded during his/her tenure.

7.1.1 Did that perception change in any way after the new president arrived?

7.1.2 How?

8.1 What kind of changes did the new president make in his/her first year or two? (Probe for changes in rules, regulations, organizational structure, incumbency in key administrative positions, deletions of former key positions, changes in institutional missions or programs.)

9.1 Have there been any changes in governing board membership in the last year or two?

9.1.1 Are you aware of what governing board feelings were toward the former president?

9.1.2 What were they?

DOCUMENT SEARCH PROTOCOLS

CEO Succession Study

Document review at community colleges selected for study include the searches for the following data (record data source, date, all necessary bibliographic information):

1. Changes in governing board membership during the period of the study.

2. Indications of board support or conflict with the previous president.

3. Nature of support for or conflict with the previous president.

4. How did governing board members come to their positions? (Partisan or non-partisan election, appointment?)

5. Were any board incumbents defeated in the last election? (Circumstances of the defeat, issues?)

6. When was the last election?

7. What was the effect of the new board member on the actions of the board?

8. Was there any change in the structure of the college that can be related to the change in governing board membership?

9. If there was a change in structure, what was the change?

10. Was there any mandate or public demand for change in college mission, organization, leadership, etc. apparent?

11. What is the history of the institution relative to hiring practices for CEO and key administrators? (Insiders or outsiders, first new CEO since founding, etc?)

12. Is there any evidence that the school is in crisis? (Declining or increasing enrollments, changes in funding formulas that reduce public financial support, demands from public constituencies or political figures for changes in mission or involvement in economic development, etc?)

APPENDIX J:

HUMAN SUBJECTS REQUEST AND SUPPORTING DOCUMENTS

INFORMATION ON THE USE OF HUMAN SUBJECTS IN RESEARCH
IOWA STATE UNIVERSITY
(Please follow the accompanying instructions for completing this form.)

1. Title of project (please type): Community College Chief Executive Officer Succession: A Grounded Theory

2. I agree to provide the proper surveillance of this project to insure that the rights and welfare of the human subjects are properly protected. Additions to or changes in procedures affecting the subjects after the project has been approved will be submitted to the committee for review.

Travis P. Kirkland — Typed Named of Principal Investigator
24 May 89 — Date
Signature of Principal Investigator

N243, Lagomarcino Hall — Campus Address
294-9550 — Campus Telephone

3. Signatures of others (if any) | Date | Relationship to Principal Investigator

6-1-89 — Major Professor

4. ATTACH an additional page(s) (A) describing your proposed research and (B) the subjects to be used, (C) indicating any risks or discomforts to the subjects, and (D) covering any topics checked below. CHECK all boxes applicable.

- [ ] Medical clearance necessary before subjects can participate
- [ ] Samples (blood, tissue, etc.) from subjects
- [ ] Administration of substances (foods, drugs, etc.) to subjects
- [ ] Physical exercise or conditioning for subjects
- [ ] Deception of subjects
- [ ] Subjects under 14 years of age and(or) [ ] Subjects 14-17 years of age
- [ ] Subjects in institutions
- [ ] Research must be approved by another institution or agency

5. ATTACH an example of the material to be used to obtain informed consent and CHECK which type will be used.

- [ ] Signed informed consent will be obtained.
- [X] Modified informed consent will be obtained.

6. Anticipated date on which subjects will be first contacted: Month Jun, Day 15, Year 1989

Anticipated date for last contact with subjects: Jun 15 1990

7. If Applicable: Anticipated date on which audio or visual tapes will be erased and(or) identifiers will be removed from completed survey instruments: Jun (Month) 15 (Day) 1990 (Year)

8. Signature of Head or Chairperson | Date | Department or Administrative Unit

6/1/89 — Department of Professional Studies

9. Decision of the University Committee on the Use of Human Subjects in Research:

[ ] Project Approved [ ] Project not approved [ ] No action required

George G. Karas

Example of Interview Confidentiality Letter

TRAVIS P. KIRKLAND
6465 Theresa Drive
Johnston, Iowa 50131

Date

TO: Study Respondent

FROM: Travis P. Kirkland, Doctoral Student, Iowa State University

SUBJECT: Interview Confidentiality

Thank you for agreeing to participate in this study of community college CEO succession. I want to assure you that the recordings and notes taken in this interview will be held in the strictest confidence. The recordings and notes that result from this interview will be coded by the researcher using an alpha-numeric system which assigns each respondent an alpha character that will identify the community college and a numeric code that identifies the individual interviewed. For example, the first person interviewed at the first community college participating in the study will be assigned code number A-001, the second person A-002, etcetera. The first person interviewed at the second community college will be assigned code number B-001.

The list that will link the code and the names of the respondents will be maintained in one copy by me in a lock box at my home. The list will be maintained by me until the study is complete and will then be destroyed. All tape recorded interviews will be summarized and tapes erased. Data that is retained will be identified with code numbers only; no names will be placed on any written data gathering or data evaluation instruments.

If the interview is agreeable to you under these conditions we will begin the interview.

COMMUNITY COLLEGE CEO SUCCESSION: A GROUNDED THEORY

Addendum: Use of Human Subjects in Research Form

Travis P. Kirkland, Doctoral Student, Department of Professional Studies, Higher Education Section, January 2, 1990.

This study examines the effects of community college CEO succession. The study uses case study methodology to develop a grounded theory of CEO succession. The study population includes institutional CEOs at selected public community colleges and key institutional and community opinion leaders comprising the environment of the community college experiencing recent CEO succession.

Data will be gathered using semi-structure interview techniques (draft attached) and historical data review. The semi-structured interview instrument was refined using an expert panel of 5 members current in the area of community college leadership and administration. A final version of the semi-structured interview instrument will be submitted to the University Committee on the Use of Human Subjects in Research when complete.

The nature of the constant comparative method of theory generation permits and encourages the pursuit of new theoretical concepts that may not have been anticipated by the researcher. Therefore, the interview instrument must be considered a guide only.

The risk to interviewees lies in the possibility of social and professional injury should comments of a sensitive nature made in the course of the interview be divulged. In order to assure the confidentiality of the interviewee and his/her comments, the following precautions will be taken:

1. Each community college participating in the study will be assigned an alpha designator code. The record of linkage between the institution and the code will be retained by the researcher in one copy in a locked box in his home.

2. Each person interviewed at a community college will be identified by an alpha-numeric code that identifies the institution and the person. This list will also be maintained in one copy in a locked box in the researcher's home.

3. Prior to beginning an interview, each respondent will be given an opportunity to read and discuss with the researcher an explanation of measures taken to assure confidentiality of the respondent and the respondent's comments in the course of the interview.

A SELECTED BIBLIOGRAPHY

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AUTOBIOGRAPHICAL STATEMENT

Travis Parker Kirkland was born 28 May 1944 in Athens, Georgia. Following graduation from East Tennessee State University Training School in 1962 he attended East Tennessee State University, graduating with a baccalaureate degree in biology, cum laude, and was commissioned as a lieutenant of Infantry in the US Army. Mr. Kirkland also holds the Master of Arts in Business Management from Central Michigan University and the Master of Public Administration from Iowa State University.

During a 24-year career in the Army, Mr. Kirkland served in management and staff roles which culminated, prior to leaving the Army, in a position as Professor of Military Science at the University of Wyoming.

In August, 1987, Mr. Kirkland entered the doctoral program in Higher Education at Iowa State University. He has conducted seminars on community college leadership and has participated in presentation sessions at professional association meetings as a panel member, session chair and presenter. He is presently department chair at an Iowa community college.

He has been married to Linda Ann Zion since 1969. They have one daughter, Meredith Ann.